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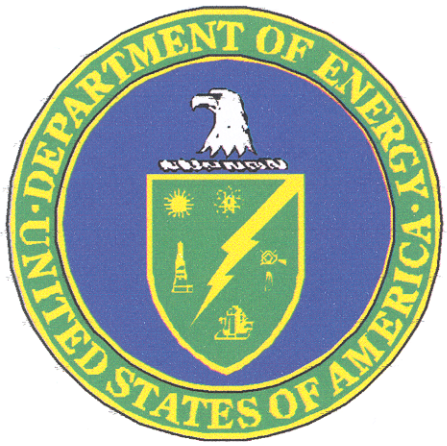
Fiscal Year 2002

Annual Performance Assessment

Stanford Linear Accelerator Center



Prepared by:

U.S. Department of Energy
Oakland Operations Office
March 2003

CONTRACTING OFFICER'S EVALUATION

The DOE-NNSA Oakland Operations Office Performance Review Board reviewed and discussed the recommendations of functional managers and staff concerning the appropriate adjectival and numeric ratings with which to rate the Board of Trustees for the Leland Stanford, Jr., University's performance in the management and operation of the Stanford Linear Accelerator Center. Based upon this process and a unanimous vote of the members of this board an adjectival rating of "**outstanding**" is granted, based on a numeric rating of 95.36% percent. Overall, there are no significant performance issues at SLAC. This report, the "Fiscal Year 2002 Annual Performance Assessment – Stanford Linear Accelerator Center" provides the basis for this determination and is hereby endorsed and approved.

Recommendation:

James S. Hirahara

Date: 3/7/03

James S. Hirahara
Chairperson, Performance Review Board
Director, NNSA Service Center

Approval:

John S. Muhlestein

Date: 3/05/03

John S. Muhlestein
Director
Stanford Site Office
Office of Science

FY 2002 Annual Performance Assessment for Stanford Linear Accelerator Center

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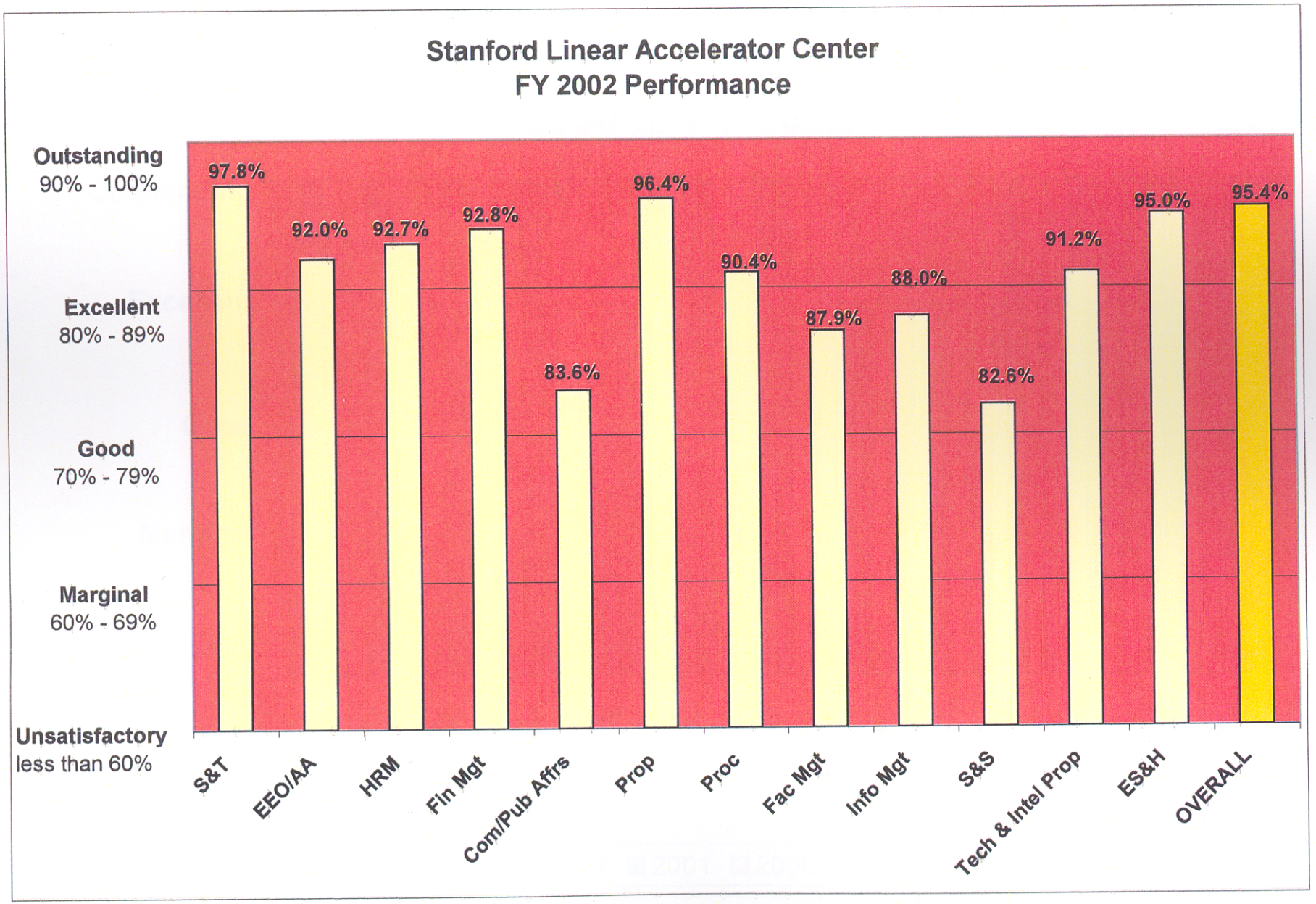
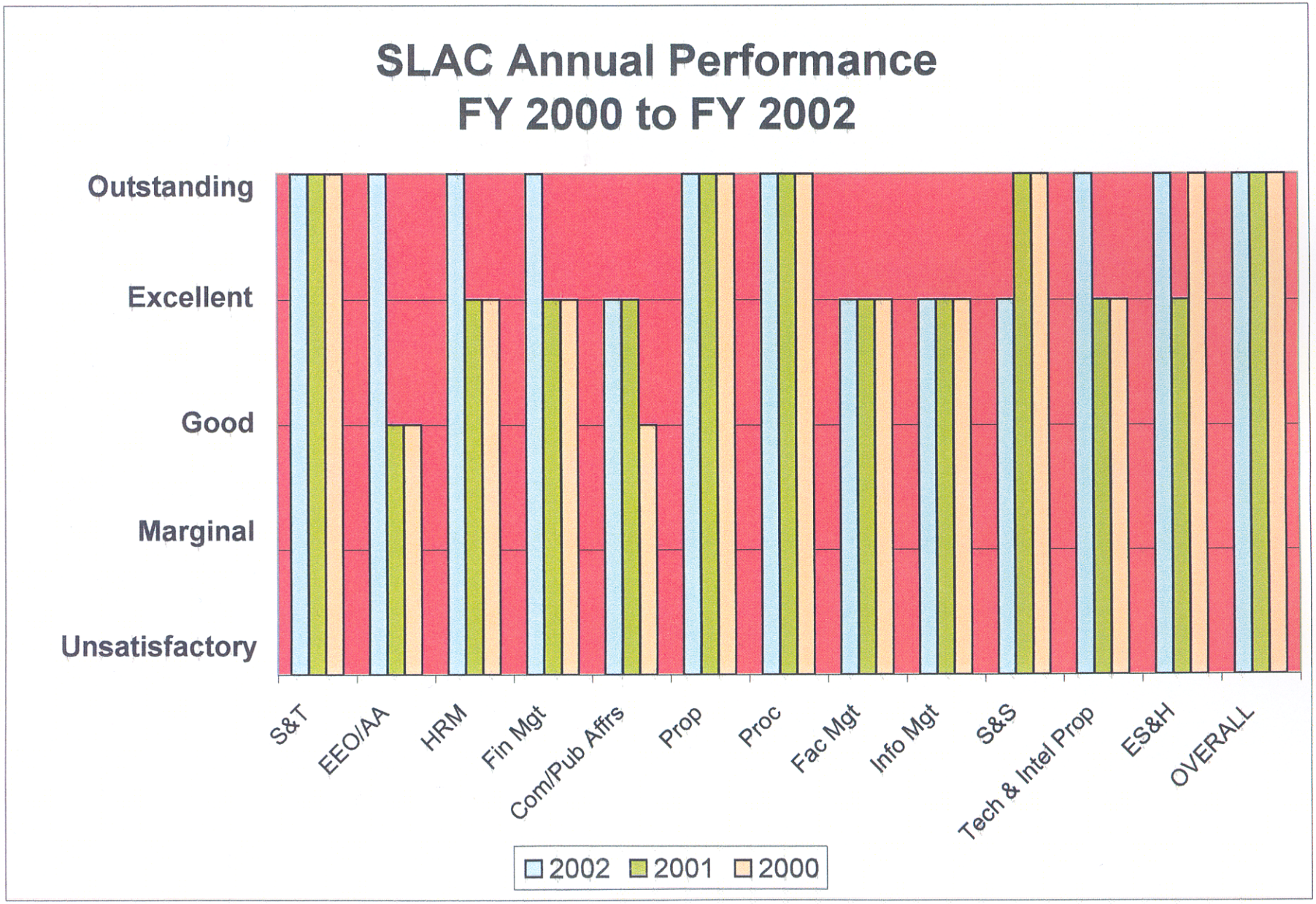
EXECUTIVE SUMMARY


Stanford Linear Accelerator Center
FY 2002 Performance
Outstanding
90% - 100%
Excellent
80% - 89%
Good
70% - 79%
Marginal
60% - 69%
Unsatisfactory
less than 60%
97.8%
92.0%
92.7%
92.8%
83.6%
96.4%
90.4%
87.9%
88.0%
82.6%
91.2%
95.0%
95.4%
S&T
EEO/AA
HRM
Fin Mgt
Com/Pub Affrs
Prop
Proc
Fac Mgt
Info Mgt
S&S
Tech & Intel Prop
ES&H
OVERALL


SLAC Annual Performance
FY 2000 to FY 2002
Outstanding
Excellent
Good
Marginal
Unsatisfactory
S&T
EEO/AA
HRM
Fin Mgt
Com/Pub Affrs
Prop
Proc
Fac Mgt
Info Mgt
S&S
Tech & Intel Prop
ES&H
OVERALL
2002
2001
2000

EXECUTIVE SUMMARY

I. PERFORMANCE-BASED ASSESSMENT PROCESS

This report is produced by the U.S. Department of Energy (DOE), Office of Science [High Energy & Nuclear Physics (HENP), Basic Energy Science (BES), Basic Energy Research (BER)], the Stanford Site Office (SSO), and Oakland Service Center (OAK/NNSA), to evaluate the Stanford Linear Accelerator Center's (SLAC) overall performance for FY2002. The evaluation areas are: 1) Scientific Research Programs and Technology Development; and, 2) Business Management (including ES&H). This evaluation is based upon an objective performance measurement system, validation of the Laboratory's self-assessments, scientific peer reviews, and ongoing operational awareness.

The period of performance for this Fiscal Year 2002 Annual Performance Assessment Report is October 1, 2001 through September 30, 2002. **The rating is based upon a system evaluation, which provides for previously agreed-to measures with ratings expressed as percentage beginning this year. Previous years, ratings were associated in point assignments and accumulated to determine the overall adjectival rating for SLAC.** The rating characterization continued to be five tier, like last year, (Outstanding, Excellent, Good, Marginal, and Unsatisfactory). The Scientific Research Programs and Technology Development section is weighted 60%, while the Business Management section (including ES&H) is weighted 40%. **Appendix A** of this report provides the methodology for the rating. **Appendix B** of this report provides detailed scores and ratings for each functional area.

The overall SLAC performance rating for FY2002 is OUTSTANDING. The Science and Technology Program summary rating of Outstanding is based upon input provided by Raymond L. Orbach, PhD, Director, Office of Office (SC). The Summary Rating combines performance evaluations from the Office of HENP, BES, and BER. The Business Management summary rating of outstanding evaluation covers: Communications & Public Affairs, Environmental Safety & Health, Equal Opportunity & Affirmative Action, Facilities Management, Financial Management, Human Resource Management, Information Management, Personal Property, Procurement, Safeguard & Security, and Technology & Intellectual Property Management. A summary chart of the scoring and rating in each area is provided on **pages 5 and 6** of this Executive Summary. Full text of the FY2002 Performance Assessment is provided under the Detailed Assessment Results.

II. SUMMARY OF SIGNIFICANT ACCOMPLISHMENTS

This Executive Summary highlights noteworthy SLAC FY 2002 performance achievements and recommended areas for improvement, rather than reiterating the scoring and adjectival ratings for each of the functional areas contained in the body of this report. There were no S&T or Business Management recommended areas for improvement in FY2002.

A. SCIENCE AND TECHNOLOGY

Stanford University manages and operates the Stanford Linear Accelerator Center (SLAC) as a National User Facility for the US Department of Energy (DOE). SLAC conducts research, design, construction, engineering,

testing, training, education, and technology transfer on behalf of DOE, in a manner that maintains a vigorous, forward-looking program. SLAC's mission is the generation and expansion of scientific and technical knowledge in High Energy Physics, Basic Energy Sciences, Biological and Environmental Research, and all appropriate areas of natural sciences, engineering, and related disciplines. High Energy Physics (HEP) includes accelerator, experimental, particle and theoretical physics, and astrophysics and cosmology. Basic Energy Sciences (BES) includes synchrotron radiation research in chemistry, materials sciences, physics, and other disciplines. Biological and Environmental Research (BER) includes synchrotron radiation research in structural molecular biology and medical sciences. SLAC has been established as a National User Facility for the conduct of unclassified research, providing a unique resource for the DOE Office of Science and related User communities.

The very nature of scientific inquiry, its complexity, duration, and examination of the unknown, mitigate against the establishment of purely quantitative criteria for evaluating the results of this research. In recognition of this difficulty, a system utilizing the review by scientific peers has proven its worth in influencing the direction of, and establishing standards for scientific research. In keeping with this tradition, this peer review process is used to evaluate the science and technology programs and projects at SLAC.

For Fiscal Year 2002, the overall performance rating for the Stanford Linear Accelerator Center on Office of Science (SC) Science and Technology Programs is Outstanding. This rating is based upon characterization of Outstanding, Excellent, Good, Marginal, and Unsatisfactory scale. It is a weighted average of performance evaluations provided by each SC Program Office utilizing the budget for each program at SLAC as the weighting factors. This summary rating combines overall performance evaluations by the SC Offices of High Energy Physics, Basic Energy Sciences, and Biological and Environmental Research.

Overall S&T was rated: Outstanding for FY 2002. The breakdown is:

High Energy Physics = Outstanding
Synchrotron Radiation = Outstanding

Last year, FY 2001 overall rating was also Outstanding.

High Energy Physics Performance Evaluation

Office of High Energy Physics (HEP)

The Stanford Linear Accelerator Center currently operates a cutting edge program in High Energy Physics based on the B-Factory, small scale "Fixed Target" experiments done with the electron beam from the 2-Mile Linac, the construction of a space-based astroparticle physics experiment (GLAST), and theoretical physics in addition, groundwork for a long-range future program is being developed today, with accelerator research towards the design of an energy-frontier linear collider.

Quality of Fundamental and Applied Science

B-Factory (PEP-II Collider and BaBar Detector): The B-Factory continued its impressive performance. PEP-II delivered 101 fb^{-1},of which the BaBar Detector recorded 96 fb^{-1}. The BaBar Collaboration promptly published the latest and world's best result of CP violation $\sin(2\beta) = 0.741 \pm 0.067 \pm 0.034$ Analysis in other areas such as rare B decays, $B - \overline{B}$ mixing, τ decays, and charm decays was completed. Thirteen papers were submitted for publication in FY 2002. More than 25 papers were presented at international conferences, with publication planned for the near future. BaBar is a large (600 member) collaboration with members from 74 institutions in 9 countries. There are approximately 150 graduate students and 110 postdoctoral researchers receiving training on BaBar.

Fixed Target Experiments (SLAC 2-Mile Linac): The E-158 Experiment to measure parity violation in Moeller scattering completed its commissioning and moved to physics data taking. This small experiment, which measures electroweak mixing at an energy scale far below the Z boson mass, is testing for new physics.

Particle Astrophysics (GLAST): SLAC is the host laboratory for the Large Area Telescope of GLAST (Gamma-ray Large Area Space Telescope), an astroparticle physics experiment to detect gamma rays in space. This experiment utilizes detector technologies, such as cesium iodide electromagnetic calorimeters and silicon-microstrip trackers, to study the physics problem of how high-energy gamma rays are produced in space.

Theory: The SLAC theory group works in a variety of areas, ranging from the development of fundamental theories to detailed calculations and tests of theories directly relevant to high energy physics experiments at SLAC and elsewhere. At the HEP Annual Review, their work was evaluated to be outstanding, with significant impact on the field.

Relevance to DOE Missions and National Needs

DOE Mission and Program Priority: The Laboratory's priorities are well aligned with the DOE mission and the national HEP Program.

Next Linear Collider R&D: SLAC leads the Next Linear Collider (NLC) R&D Program, focusing on development of critical technologies such as klystrons and solid-state modulators, redesign and test of high gradient structures, re-examination of final-focus requirements, and an aggressive R&D program in the NLC Test Accelerator. The work on the physics case for the Linear Collider continued, with emphasis on how to use the unique capabilities of the linear collider environment, such as beam polarization, highly efficient heavy quark tagging, and the possibility of backward-scattered photon beams.

Advanced Accelerator R&D: SLAC also carries out an excellent advanced accelerator research program with a wide variety of topics covering: performance enhancement of current accelerators, research and design for near-future facilities, research in fundamental aspects of accelerator and beam physics, and accelerator physics and technology on high gradient acceleration and advanced concepts.

Effective and Efficient Research Program Management

Research Program Management: The SLAC research program is well managed, and the scientific productivity is high, in spite of difficulties from the tightly constrained budget.

The effectiveness of SLAC management is best demonstrated by the integrated luminosity records at the B-Factory in FY 2002, collecting the largest high energy physics data sample ever produced. Not only did the PEP-II Collider and the BaBar Detector operate with outstanding efficiencies, but also all upgrade and maintenance activities during the planned Annual Shutdown were accomplished on schedule — the result of effective planning and management.

SLAC has managed to deliver sufficient computing resources for BaBar by effectively managing its computing resources, as well as successfully coordinating with major European agency-funded computing centers in Europe. An increase in management oversight by the directorate helped the GLAST Project overcome its initial difficulties, and resulted in an approval of the Project Baseline, a successful formation of an International Agreement, and a signed agreement in place between DOE and NASA.

Research Program Leadership: The position of Associate Director of Research was successfully filled in April 2002, and the new Associate Director is providing strong management oversight in all areas of the High Energy Physics Program.

The SLAC Director is serving as the chair of the U.S. Linear Collider Steering Committee, providing strong leadership for the National Linear Collider efforts in the U.S. The SLAC Deputy Director is serving as the chair of the International Linear Collider Technical Review Committee, and is leading the effort of producing the Committee's review report.

Success in Construction and Operation of Facilities

B-Factory Operations: As noted above, SLAC continued to improve the performance of the B-Factory. The peak luminosity achieved in FY 2002 was 4.602 x 10^{33} cm^{-2} sec^{-1}, which is over 1.5 times the design peak luminosity of 3.0 x 10^{33} cm^{-2} sec^{-1}. The operation of both the PEP-II and BaBar Detector was efficient and effective, with record integrated luminosities being achieved. The best 8-hour shift was 108 pb^{-1} delivered to BaBar. Records were also set on day, week and monthly time scales. The total integrated luminosity delivered to BaBar since May 1999 is 101.2 fb^{-1}, and BaBar logged about 96% of delivered data, making it the world's largest high energy physics data sample. During the planned 4-month shutdown of the B-Factory, work geared toward further luminosity increase and stable operation for PEP-II was successfully completed. Maintenance and improvement activities for the BaBar Detector were also carried out successfully during this shutdown period.

Fixed Target Experiments: In FY 2002, the E-158 Experiment (Moller Scattering) carried out final commissioning, and successfully operated for 5 weeks at full design luminosity. The machine delivered a stable 16 coulombs of charge to the experiment, which will produce the anticipated error on the physics asymmetry measurement of 23 parts per billion.

GLAST Project: Considerable progress was made toward the final instrument design and development of production methods for the construction of the GLAST LAT Detector.

Construction Projects: The new Research Office Building was completed on time and within budget, and the construction of a new User Lodging Facility is making good progress.

Synchrotron Radiation Research Performance Evaluation

Office of Basic Energy Sciences (BES), and Office of Biological and Environmental Research (BER)

Quality of Fundamental and Applied Science

SSRL and User Research: The FY 2001 BES review of SSRL indicated that the quality of the research performed by staff and Users is outstanding; the number and quality of science publications are impressive; and staff scientists are competent, enthusiastic, and creative. BES Division of Materials Sciences & Engineering (DSM&E) supports the outstanding work of Z-X Shen, who has made considerable advances in understanding the mechanisms of high T_c superconductivity. The addition of Jo Stohr is welcomed, and strengthens the research that is being carried out by SSRL scientists by adding new areas, including microstructure of magnetic materials as well as polymeric materials.

Outstanding new nanoscience efforts funded by BES in FY 2001 on the Stanford Campus have resulted in closer ties with materials science activities at SSRL. Dr. Arthur Bienenstock became the Director of the Geballe Laboratory for Advanced Materials (G-LAM) on the Stanford Campus, which is now formally linked to SSRL. In

FY 2002, there were two new Nanoscale Science, Engineering and Technology (NSET) Initiative Awards to the SSRL/G-LAM. This total effort holds the promise of providing a strong, coherent research program in strongly correlated electronic materials, and in magnetic materials.

Other activities supported through the SSRL include:

- the collaboration with University of Texas at El Paso to enhance the participation of Hispanic students in x-ray scattering;
- the Sub-Picosecond Photon Source (SPPS) effort to study short-pulse x-ray science, in preparation to the Linac Coherent Light Source (LCLS);
- the LCLS and the free electron laser (FEL) collaboration with other laboratories;
- the microbeam technique development, and;
- the research by John Miao, which seeks to obtain structural information from single molecule diffraction.

All of these are felt to be of great importance to the goals of DMS&E, and are being performed at an outstanding level.

BER Comment: SLAC/SSRL has an outstanding staff in Structural Molecular Biology, recognized worldwide for their research into new technology, and for their collaborations with external scientists to solve complex structural problems. Noteworthy progress has been made in developing and implementing automated, robotic systems for improved efficiency in the use of available beam time.

Relevance to DOE Missions and National Needs

DOE Mission and Program Priority: The research carried out at SSRL is strongly supportive of the DOE missions; and, the operation of the SSRL fills the stewardship role for the Nation as a DOE-supported User Facility.

BER Comment: SLAC/SSRL is highly successful in developing state-of-the-art experimental stations for Structural Molecular Biology, stations that provide the latest technologies for solving the most complex structural problems. The User facilities are outstanding, and attract a large and growing community of scientists from academic, government, non-profit and industrial institutions. Beamline 9-2 ranks fourth in the number of new protein structures published during 2002 (through September), out of more than three dozen stations devoted to protein crystallography worldwide.

Effective and Efficient Research Program Management

Research Program Management: Management of science and facilities operation is outstanding. The leadership by SSRL management to embrace G-LAM was creative and will benefit SSRL, SLAC, and Stanford.

BER Comment: SLAC/SSRL manages its structural molecular biology staff and facilities in an outstanding manner. Users receive a high level of support, beamline equipment is well maintained, and downtime is rare. This is particularly noteworthy, since much staff effort is simultaneously being devoted to the SPEAR3 Upgrade Project.

Success in Construction and Operation of Facilities

SPEAR2 Operations: SSRL has been operating in an extremely productive manner over the past year. A 95 percent availability beam time is outstanding, and is indicative of quality accelerator staffing. Users are very satisfied with the operation at SSRL. SSRL has excellent staff support for Users, and the interactions with Users serves as a model for other facilities.

SPEAR3 Upgrade Project: The SPEAR3 Construction Project, headed by Tom Elioff, is proceeding in an exemplary manner. It is on time and within budget. The Project team has worked with SLAC and vendors to overcome some very difficult problems that have arisen during the Project.

LCLS (X-ray FEL) Project: The Linac Coherent Light Source Project has successfully completed the Conceptual Design. The Project is well staffed, and ready to enter the engineering design phase.

B. BUSINESS MANAGEMENT

Introduction: Overall Business Management was rated Outstanding for FY2002.

Of the eleven functional areas evaluated, 5 had no change in ratings from FY2001 to FY2002:

- Communications & Public Affairs.....Excellent
- Personal Property.....Excellent
- Procurement.....Outstanding
- Projects/Facilities Management.....Excellent
- Information Management.....Excellent

Functional areas increased rating from FY 2001 to FY 2002:

Equal Opportunity & Affirmative Action .....Good to Excellent
Personnel Management.....Excellent to Outstanding
Financial Management.....Excellent to Outstanding
Technology & Intellectual Property Management..... Excellent to Outstanding
Environmental Safety & Health..... Excellent to Outstanding

One functional area decreased rating from FY 2001 to FY 2002:

Safeguards & Security.....Outstanding to Excellent

Rather than reiterate the scoring or adjectival ratings for each of the functional areas contained in the Detailed Assessment Results, this summary highlights the five success areas of achievements at SLAC in FY 2002.

Functional Areas Increased Ratings:

Communications & Public Affairs: The overall rating significantly increased from **Good to Excellent** for FY02. This improvement can be attributed to the following achievements: mid-year modifications made to the performance measure focused on short-term actions that were critical and reasonably attainable; and, Self-Assessment highlighted the good faith efforts committed to by the Laboratory for the appraisal period.

Personnel Management: The overall rating increased from **Excellent to Outstanding** for FY02. The improvements are attributed to the mid-year modification of the performance measures served to align DOE/OAKs performance management with the goals and priorities of SLAC's Human Resources Department, adding value to the process and allowing HR to maintain its focus on its strategic objectives. SLAC's areas of interest for FY02

included examining the employment process to ensure HR was recruiting effectively, eliminating undue burden on the supervisor to screen irrelevant resumes, and responding expeditiously when a selection has been made. In addition, SLAC further scrutinized the employment process by testing a streamlined approach to the hiring of "critical" positions, reducing the time to fill from an average of 119 days to 33 days for the designated positions. In another attempt to validate its responsiveness to the recruitment/retention needs of the Laboratory, HR identified the total compensation of three positions to that of three external comparators within the local market, finding that despite SLAC's struggle with budgetary constraints, it has succeeded in maintaining its competitiveness in the necessary areas, and even leads the market. HR's success in FY02 in meeting the needs of the Laboratory were further culminated through its overall rating of 1.9 under its annual customer survey, an increase over FY01's 2.2. SLAC's HR staff if to be commended for its efforts and successes in FY02.

Financial Management: The overall rating increased from **Excellent to Outstanding** for FY02. This is the first year Financial Management has attained an Outstanding rating. During FY02 SLAC had no delinquencies over 180 days and therefore no receivables had to be referred to the U.S. Treasury. SLAC Accounting made process improvements in the following four major areas: 1) payroll, 2) labor, 3) commitments, and, 4) allocations. SLAC has two reports in place to ensure costs and commitments stay within DOE funding levels and there were no reported violations. During FY02, SLAC reported travel cost of $1.5M and did not exceed the administrative ceiling of $2.35M. SLAC made process improvements in the areas of labor, commitments, and indirect allocations that contributed to their ability to deliver their reports on time with the right content. SLAC audited financial statements prepared in accordance with DOE requirements. Lastly, there were no audit findings to financial statements from integrity checks and preliminary reviews.

Technology & Intellectual Property: The overall rating increased from **Excellent to Outstanding** for FY02. The Laboratory's Office of Technology Transfer was productive, with competent staff targeting industrial sectors, with a continued focused on software. SSO records for FY2002 show OAK approval of 2 CRADAs and 3 Work For Others (WFOs) covering hardware and software projects, and analysis of satellite astronomy data. Both CRADAs were with small businesses, involving HQ-SC Small Business and Innovative Research (SBIR) grants for critical technology R&D on photocathodes for electron guns and accelerator feedback control software. All three WFOs were with U.S. Government agencies, NASA and National Institutes of Health. For CRADAs, DOE Intellectual Property & Law Division (IPLD) in FY01 requested SLAC's Office of Technology Transfer (OTT) to create a laboratory CRADA model. OTT and IPLD/SSO is in the final stage of approving the model.

Environmental Safety & Health: The overall rating increased from **Excellent to Outstanding** for FY02. This rating is based upon the combined evaluation of SLAC's performance on the ES&H outcome measures and the Integrated Safety Management System (ISMS) process measure. In FY 2002, SLAC performed at an outstanding level in the following areas: 1) exposure to ionizing radiation with no unplanned exposures or ORPS reportable events of skin or clothing contamination, 2) control of radioactive material with no reportable incidents of loss of control of radioactive materials, 3) fire department response time anticipated 95% in pre-fire plan and exceeded to 96%, 4) fire department building inspections conducted 95% of required building inspection, and, 5) radioactive waste was managed within DOE Order 435.1.

III. RECOMMENDED AREAS FOR IMPROVEMENT

A. SCIENCE AND TECHNOLOGY

None.

B. BUSINESS MANAGEMENT

Safeguard & Security:

- S&S rating **decreased from Outstanding in FY01 to Excellent** rating in FY02.
  - The performance measures were significantly re-written.
  - This reduction is attributed to the following:
    - 1) untimely submission of updated Site Security Plan (no revisions in updated plan) and,
    - 2) SLAC's theft rate increased for the first time since FY00 and no corrective plan was developed.

Communications & Public Affairs:

- SLAC should participate in more external activities with the community including more involvement with local high schools.
- Development of a 3-year Community Relations Plan is recommended.

Personal Property:

- In measuring cost efficiency/effectiveness, quantifiable data should be provided to show how much cost/savings has been realized by the improvements.

Procurement:

- Delivery of Good & Services should be increased to meet the 85% benchmark set by Balance Score Card goal.
- Percentage of transactions placed by alternate procurement method under the Rapid Purchasing Techniques (RPT) should be increased.

Projects & Facilities Management:

- For several tasks, SLAC's Self Assessment need to better reflect accomplishments and identified performance.
- Meet Quarterly Progress Review.

C. OBSERVATION:

Stanford Internal Audit conducted a review of the SLAC Purchase Card Program as part of the Department-wide review of Federal and contractor purchase card programs on August 26, 2002. This review was a follow-up to a pilot review performed in June 2002 at six Departmental sites that disclosed a number of internal control, policy and operational weaknesses. The audit report stated that SLAC's internal controls over Purchase Cards were comprehensive, adequately documented, and adequate to provide reasonable assurance that all purchase card transactions and costs incurred and charged to the Contract were allowable and in compliance with Departmental guidance and SLAC Purchase Card policies in all material respects. There were several recommendations, which if fully implemented will further strengthen the existing internal controls.

Of a total nine Corrective Actions, six have been completed, and three are open and estimated completion by FY03.

SCIENCE & TECHNOLOGY

Performance Area: **SCIENCE AND TECHNOLOGY**

Cumulative Available Points: 600 points

Stanford University operates and maintains the Stanford Linear Accelerator Center (SLAC) as a National User Facility, and manages the research, design, construction, engineering, testing, training, education, technology transfer, and other activities conducted on behalf of the Department of Energy (DOE), in a manner that will maintain a vigorous, forward-looking program. The mission is the generation of new, and expansion of existing, scientific and technical knowledge in: high energy physics, including theoretical, experimental, and accelerator physics; basic energy sciences, including but not limited to the utilization of synchrotron radiation in biology, chemistry, materials science, medical sciences, physics and other disciplines; health and environmental sciences; and all appropriate areas of natural sciences, engineering, and related disciplines. SLAC has been established as a National User Facility for the conduct of unclassified research, providing a unique resource for the DOE Office of Science's scientific program and related user communities.

The very nature of scientific inquiry, its complexity, duration, and examination of the unknown, mitigate against the establishment of purely quantitative criteria for evaluating the results of this research. In recognition of this difficulty, a system utilizing the review by scientific peers has proven its worth in influencing the direction of, and establishing standards for scientific research. In keeping with this tradition, this peer review process will be used to evaluate the science and technology programs at SLAC.

A. HIGH ENERGY PHYSICS

Available Points: 500

Performance Objective: #1: Scientific Research and Technology Development Programs

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner. **(Total Weight = 100%)**

Performance Criteria: 1.1
Quality of fundamental and applied science.

Performance Measures: 1.1.a **(Weight: 40%)**

SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; have a strong and enthusiastic user organization.

Performance Narrative:

The Stanford Linear Accelerator Center (SLAC) currently operates a cutting edge program in High Energy Physics based on the B-Factory, small scale experiments done with the electron beam from the 2-Mile Linac, the construction of a space-based astroparticle physics experiment, and theoretical physics. The groundwork for a long-range future program is being developed today, with accelerator research towards the design of an energy-frontier linear collider.

The B-Factory continued its impressive performance. PEP-II delivered 101 fb^{-1}, of which the BaBar Detector recorded 96 fb^{-1}. The BaBar Collaboration promptly published the latest and world's best result of CP violation $\sin(2\beta) = 0.741 \pm 0.067 \pm 0.034$.

Analysis in other areas such as rare B decays, $B - \overline{B}$ mixing, τ decays, and charm decays was completed. Thirteen papers were submitted for publication in FY 2002. More than 25 papers were presented at international conferences, with publication planned for the near future.

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The E-158 Experiment to measure parity violation in Moeller scattering completed its commissioning and moved to physics data taking. This small experiment, which measures electroweak mixing at an energy scale far below the Z boson mass, is testing for new physics.

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The SLAC theory group works in a variety of areas, ranging from the development of fundamental theories to detailed calculations and tests of theories directly relevant to high energy physics experiments at SLAC and elsewhere. At the HEP Annual Review, their work was evaluated to be outstanding, with significant impact on the field.

Performance Rating (Adjectival): **Outstanding**	98.00%

Performance Criteria: 1.2

Relevance to DOE missions or national needs.

Performance Measure: 1.2.a **(Weight: 15%)**

SLAC will contribute to U.S. leadership in international High Energy Physics communities; contribute to the goals and objectives of DOE Strategic Plans and guidance; provide advanced accelerator, and detector facilities that serve the needs of a wide diversity of scientific users from industry, academia, and Government laboratories.

Performance Narrative:

The Laboratory's priorities are well aligned with the DOE mission and the national HEP program.

SLAC leads the Next Linear Collider (NLC) R&D program, focusing on development of critical technologies such as klystrons and solid-state modulators, redesign and test of high gradient structures, re-examination of final-focus requirements, and an aggressive R&D program in the NLC Test Accelerator.

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SLAC also carries out an excellent advanced accelerator research program with a wide variety of topics covering: performance enhancement of current accelerators, research and design for near-future facilities, research in fundamental aspects of accelerator and beam physics, and accelerator physics and technology on high gradient acceleration and advance concepts.

Performance Rating (Adjectival): **Outstanding** 97.00%

Performance Criteria: 1.3
Effective and efficient research program management.

Performance Measure: 1.3.a **(Weight: 20%)**

SLAC will provide: well-developed research plans; optimal use of personnel, facilities, and equipment; meeting budget projections and milestones; reflect effective decision-making in managing and redirecting projects; identify and avoid or overcome technical problems; and include scientific and technical information in program and project planning, and make it broadly available in electronic form.

Performance Narrative:

The SLAC research program is well managed, and the scientific productivity is high, in spite of difficulties from the tightly constrained budget.

The effectiveness of SLAC management is best demonstrated by the integrated luminosity records at the B-Factory in FY 2002, collecting the largest high energy physics data sample ever produced. Not only did the PEP-II and the BaBar Detector operate with outstanding efficiencies, but also all upgrade and maintenance activities during the planned Annual Shutdown were accomplished on schedule — the result of effective planning and management.

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Performance Rating (Adjectival): **Outstanding** 98.00%

Performance Criteria: 1.4

Success in construction and operation of facilities.

Performance Measure: 1.4.a **(Weight: 25%)**

SLAC will construct and operate leading-edge experiments and user facilities in a reliable safe and environmentally sound manner according to planned schedules; achieve performance specifications; and maintain and improve facilities at reasonable and defensible costs.

Performance Narrative:

As noted above, SLAC continued to improve the performance of the B-Factory. The peak luminosity achieved in FY 2002 was 4.602 x 10^{33} cm^{-2} sec^{-1}, which is over 1.5 times the design peak luminosity of 3.0 x 10^{33} cm^{-2} sec^{-1}. The operation of both the PEP-II and BaBar Detector was efficient and effective, with record integrated luminosities being achieved. The best 8-hour shift was 108 pb^{-1} delivered to BaBar. Records were also set on day, week and monthly time scales. The total integrated luminosity delivered to BaBar since May 1999 is 101.2 fb^{-1}, and BaBar logged about 96% of delivered data, making it the world's largest high energy physics data sample.

During the planned 4-month shutdown of the B-Factory, work geared toward further luminosity increase and stable operation for PEP-II was successfully completed. Maintenance and improvement activities for the BaBar Detector were also carried out successfully during this shutdown period.

In FY 2002, the E-158 Experiment carried out final commissioning, and successfully operated for 5 weeks at full design luminosity. The machine delivered a stable 16 Coulombs of charge to the experiment, which will produce the anticipated error on the physics asymmetry measurement of 23 parts per billion.

Considerable progress was made toward the final instrument design and development of production methods for the construction of the GLAST LAT Detector.

The new Research Office Building was completed on time and within budget, and the construction of a new User Lodging Facility is making good progress.

Performance Rating (Adjectival): **Outstanding** 99.00%

B. SYNCHROTRON RADIATION: Available Points: 100

Performance Objective #2: Scientific Research and Technology Development Programs

Provide new insights into the nature of matter and energy; Provide the science core competencies that contribute to successful DOE and national programs; Ensure effective programmatic and strategic planning; Construct and operate leading-edge experiments and user facilities on schedule, within budget, and in a safe and environmentally sound manner. **(Total Weight = 100%)**

Performance Criteria: 2.1

Quality of fundamental and applied science.

Performance Measure: 2.1.a (Weight: 30%)

SLAC will be recognized as a world-class research institution providing state-of-the-art facilities to the user community; having an innovative, productive research staff that is recognized as such by their peers; promote and facilitate education of graduate students and production of Ph.Ds; and have a strong and enthusiastic user organization.

Performance Narrative:

The FY 2001 BES review of SSRL indicated that the quality of the research performed by staff and Users is outstanding; the number and quality of science publications are impressive; and staff scientists are competent, enthusiastic, and creative.

BES Division of Materials Sciences &Engineering (DSM&E) supports the outstanding work of Z-X Shen, who has made considerable advances in understanding the mechanisms of high T_c superconductivity. The addition of Jo Stohr is welcomed, and strengthens the research that is being carried out by SSRL scientists by adding new areas, including microstructure of magnetic materials as well as polymeric materials.

Outstanding new nanoscience efforts funded by BES in FY 2001 on the Stanford Campus have resulted in closer ties with materials science activities at SSRL. Dr. Arthur Bienenstock became the Director of the Geballe Laboratory for Advanced Materials (G-LAM) on the Stanford Campus, which is now formally linked to SSRL. In FY 2002, there were two new Nanoscale Science, Engineering and Technology (NSET) Initiative awards to the SSRL/G-LAM. This total effort holds the promise of

providing a strong, coherent research program in strongly correlated electronic materials, and in magnetic materials.

Other activities supported through the SSRL include:

- the collaboration with University of Texas at El Paso to enhance the participation of Hispanic students in x-ray scattering;
- the Sub-Picosecond Photon Source (SPPS) effort to study short-pulse x-ray science, in preparation to the Linac Coherent Light Source (LCLS);
- the LCLS and the free electron laser (FEL) collaboration with other laboratories;
- the microbeam technique development, and;
- the research by John Miao, which seeks to obtain structural information from single molecule diffraction.

All of these are felt to be of great importance to the goals of DMS&E, and are being performed at an outstanding level.

BER Comment: SLAC/SSRL has an outstanding staff in Structural Molecular Biology, recognized worldwide for their research into new technology, and for their collaborations with external scientists to solve complex structural problems. Noteworthy progress has been made in developing and implementing automated, robotic systems for improved efficiency in the use of available beam time.

Performance Rating (Adjectival): **Outstanding**	97.00%

Performance Criteria: 2.2

Relevance to DOE missions or national needs.

Performance Measure: 2.2.a **(Weight: 20%)**

SLAC will contribute to U.S. leadership in international Basic Energy Science and Biological & Environmental Research communities; contribute to the goals and objectives of DOE Strategic Plans and guidance; provide advanced, synchrotron facilities that serve the needs of a wide diversity of scientific users from industry, academia, and Government laboratories.

Performance Narrative:

The research carried out at SSRL is strongly supportive of the DOE missions; and, the operation of the SSRL fills the stewardship role for the Nation as a DOE-supported User Facility.

BER Comment: SLAC/SSRL is highly successful in developing state-of-the-art experimental stations for Structural Molecular Biology, stations that provide the latest technologies for solving the most complex structural problems. The User facilities are outstanding, and attract a large and growing community of scientists from academic, government, non-profit and industrial institutions. Beamline 9-2 ranks fourth in the number of new protein structures published during 2002 (through September), out of more than three dozen stations devoted to protein crystallography worldwide.

Performance Rating (Adjectival): **Outstanding** 97.00%

Performance Criteria: 2.3

Effective and efficient research program management.

Performance Measure: 2.3.a **(Weight: 20%)**

SLAC will provide: well-developed research plans; optimal use of personnel, facilities, and equipment; meeting budget projections and milestones; reflect effective decision-making in managing and redirecting projects; identify and avoid or overcome technical problems; and include scientific and technical information in program and project planning, and make it broadly available in electronic form.

Performance Narrative:

Management of science and facilities operation is outstanding. The leadership by SSRL management to embrace G-LAM was creative and will benefit SSRL, SLAC, and Stanford.

BER Comment: SLAC/SSRL manages its structural molecular biology staff and facilities in an outstanding manner. Users receive a high level of support, beamline equipment is well maintained, and downtime is rare. This is particularly noteworthy, since much staff effort is simultaneously being devoted to the SPEAR3 Upgrade Project.

Performance Rating (Adjectival): **Outstanding** 97.50%

Performance Criteria: 2.4

Success in construction and operation of facilities.

Performance Measure: 2.4.a (Weight: 30%)

SLAC will construct and operate leading-edge experiments and user facilities in a reliable safe and environmentally sound manner according to planned schedules; achieve performance specifications; and maintain and improve facilities at reasonable and defensible costs.

Performance Narrative:

SSRL has been operating in an extremely productive manner over the past year. A 95 percent availability beam time is outstanding, and is indicative of quality accelerator staffing. Users are very satisfied with the operation at SSRL. SSRL has excellent staff support for Users, and the interactions with Users serves as a model for other facilities.

The SPEAR3 Construction Project, headed by Tom Elioff, is proceeding in an exemplary manner. It is on time and within budget. The Project team has worked with SLAC and vendors to overcome some very difficult problems that have arisen during the Project.

The Linac Coherent Light Source (LCLS, X-Ray FEL) Project has successfully completed the Conceptual Design. The Project is well staff, and ready to enter the engineering design phase.

BER: not applicable.

Performance Rating (Adjectival): **Outstanding** 100%

BUSINESS MANAGEMENT

Performance Area: EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION

Cumulative Available Points: 15 points

Performance Objective: # 1 Equal Opportunity and Affirmative Action

Maintain effective internal program controls to ensure SLAC's Equal Opportunity Programs is in accordance with all Federal Civil Rights Statutes and the Affirmative Action Program is in accordance with the Code of Federal Regulations 41-CRF 60-2.

(Total Weight = 100%)

Performance Criteria: 1.1

Program Development and Maintenance: Develop and maintain an Equal Employment and Affirmative Action Program at SLAC that meets the Department of Labor's compliance criteria and the Department of Energy's EEO Contractual requirements.

Performance Measure: 1.1.a **(Weight: 100%)**

Compliance Standing and Operational Awareness

Development, maintenance, and existence of control systems that would enable the standing of the EEO/AA program to be assessed quickly and efficiently. Assess and evaluate the strategic plan contained in the Annual Affirmative Action Plan.

Performance Assumptions:

Program and Plan:

The maintenance of a current EEO/AA program through the development of an annual affirmative action plan to identify areas of under utilization and to assess progress in reaching full utilization of minorities and women in accordance with regulatory guidelines. Contained within this annual plan, with the concurrence of DOE/OAK, will be the identification of high priority occupation areas along with a strategic plan.

Performance Gradient:

Outstanding: In the aggregate, improve utilization of high priority underutilized job groups and achieve full utilization in any of the high priority job groups while showing no

reduction in utilization in all other job groups.

Excellent: In the aggregate, improve utilization of high priority underutilized job groups while showing no reduction in utilization in all other job groups.

Good: Within the annual affirmative action plan, the laboratory will develop a strategic plan in concurrence with DOE/OAK. The laboratory will provide evidence of its commitment by providing a report on the results of an annual strategic plan including topics such as recruitment, selection, and retention efforts involving minorities and women. The report shall include workforce data a year apart depicting job group tables which list employment by ethnicity and gender and which will identify the level of utilization for minorities and women.

Marginal: Fails to develop an acceptable Plan.

Performance Narrative:

SLAC's performance under this measure is rated at Excellent for FY2002. Inherent in this measure is that SLAC provide an Equal Opportunity and Affirmative Action program that is in compliance with the Department of Labor (DOL) requirements and Department of Energy contract provisions, and is managed to ensure that good faith efforts are implemented to improve representation in areas of underutilization. As it has for the past several years, SLAC has demonstrated that it develops its annual Affirmative Action Plan and possesses the internal controls necessary to be in full compliance with DOL requirements.

Of particular interest to DOE is SLAC's Strategic Plan, which is contained within its Affirmative Action Plan. For FY2002, the Strategic Plan identified specific goals to hire one minority in computer sciences and two women in executive management, increase the number of women in "tenure-tracked faculty positions", examine the effects of commuting on the recruitment/retention of a diverse workforce, and implement a faculty exchange program with an Historically Black College and University (HBCU). SLAC achieved all of these goals. Through hiring a minority Computer Science intern who has since been offered a regular, permanent position, and hiring three women in the executive staff, two of whom were also placed in "tenured tracked faculty positions" along with two additional women, SLAC has achieved close to full utilization for women executives and minority computer scientists. SLAC also established a baseline for the commute study, and initiated the faculty exchange program with two physics professors from Southern University in Louisiana and Fisk University in Tennessee.

Performance Rating (Adjectival): **Excellent**	88.00%

Performance Area: HUMAN RESOURCE MANAGEMENT

Cumulative Available Points: 35 points

Performance Objective: #1 Customer Needs

Human Resources management will monitor employee/customer feedback in order to ensure high quality service to its employees. **(Total Weight = 32%)**

Performance Criteria: 1.1 Direct Compensation Program

The requirements, expectations, and preferences of customers are collected and addressed.

Performance Measure: 1.1.a Average Salary (Weight: 32%)

Based on the analysis of survey data, the Human Resources Department will establish action plans to improve those areas that do not meet customer expectations.

Performance Gradient:

- Unsatisfactory: no customer survey data is collected.
- Marginal: Survey data is collected, but no action plans are developed to respond in needed areas.
- Good: Action plans are developed that are directly responsive to valid customer Feed back is between 3 and 3.5 on a 5-point scale.
- Excellent: Action plans are implemented and measurable progress or action is taken or overall customer feedback is between 3.5 and 4.0.
- Outstanding: Improvements are achieved which directly respond to the survey data or overall customer feedback exceeds 4.0.

Performance Narrative:

SLAC performed at the Outstanding level under this measure in FY2002. For the second year, SLAC's Human Resources Department surveyed 400 employees on three questions, based on a scale of 1-5 (1 = Outstanding, 5 = Unsatisfactory):

- How well does Human Resources respond to your needs?
- Are you treated respectfully and professionally by Human Resources staff?
- Rate the overall Human Resources Department performance.

Two additional questions were asked, in which written comments were required:

- What works well in the Human Resources Department?
- What would you like to see improved in the Human Resources Department?

The survey received a 20% return rate, with 82% rating the overall performance of Human Resources at either Good or Outstanding. The overall rating for FY2002 saw a commendable increase from FY2001, at 1.9 from 2.2. Written comments supported the quantitative data, with the most positive comments directed at the Benefits, Compensation, Employment, and Training and Development programs. FY2002 was the first year Compensation and Employment received such high praise. Negative comments were directed at Benefits and International Services, attributable in both areas to issues and events beyond the control of SLAC staff, and, therefore, not necessitating an action plan.

Performance Rating (Adjectival): **Outstanding**	95.00%

Performance Objective: # 2 HR Systems and Processes

The Laboratory strives to provide efficient HR systems and processes.

(Total Weight = 34%)

Performance Criteria: 2.1

Human Resource systems and processes will optimize the delivery of services with respect to quality and efficiency.

Performance Measure: 2.1.a (Weight: 34%)

The laboratory will evaluate HR systems and processes for improvements.

Performance Assumptions:

The system or process reviewed will be characterized in one of three ways: (1) it currently provides optimal quality and efficiency, (2) it needs improvement and a project will be initiated or (3) it needs improvement but it is considered not cost-beneficial to initiate a project. The Laboratory will identify the status of the system when first reviewed, will report baseline data at that time, and will report the results of either the improvement or the decision to leave the system as is.

Performance Gradient:

- Unsatisfactory: Little or no effort has been demonstrated towards achievement of the performance measure.
- Marginal: Some effort is demonstrated, but the results fall short of the expectations for "good" gradient.
- Good: One or two major systems or processes are identified for review, baseline data has been taken, and, if action is initiated, there is measurable progress toward improvement.
- Excellent: If action was initiated, analysis against baseline data for the system or process improvement shows clear improvement or the system is streamlined, enhanced or eliminated or baseline data and the review show the systems meet our expectations.

- Outstanding: In addition to the significant improvements in "excellent", the completion of the project is ahead of schedule and the expected results are achieved or analysis against baseline data indicates the systems are excellent.

Performance Narrative:

SLAC achieved an Outstanding in the first year of this measure. The process SLAC chose to address for FY2002 was the Employment process. Feedback received by Human Resources led SLAC to identify several inefficiencies in the turn-around time in the hiring process, applicant screening, and recruitment. As a result, SLAC has increased the volume of resumes by attending additional job fairs and utilizing web-based Job Boards, and has streamlined resume screening and routing. In addition, SLAC has reduced the time between a hiring officials notification of a selectee and when Human Resources makes an offer, from 3.9 days to 2.6 days.

Performance Rating (Adjectival): **Outstanding**	95.00%

Performance Objective: # 3 Attraction and Retention of Qualified People

SLAC will attract and retain highly qualified people by having a cost effective total compensation program competitive with the relevant job market and by initiating methodologies to attract and recruit and qualified candidates. **(Total Weight = 34%)**

Performance Criteria: 3.1 Total Compensation

Total compensation is assessed for competitiveness of its tangible and intangible elements.

Performance Measure: 3.1.a (Weight: 17%)

SLAC Human Resource Department staff will assess two of the six areas every year such that each area is reviewed every three years and will find complete compliance with Stanford University policy requirements. The self-assessment will be submitted to DOE for review and validation. (During FY 2000, Training and Employee Relations will be reviewed.)

Performance Assumptions:

SLAC will identify three significant positions from the various job families and benchmark these positions with our surrounding employment market. The benchmark positions will be compared to a small sample of the relevant market for total compensation that will include average salary, paid leave, holidays, health and welfare, education benefits, retirement benefits, and other intangibles. The intangibles might include health promotion activities and classes, employee assistance programs, availability of childcare, internal employee recognition award programs.

Performance Gradient:

- Unsatisfactory: Benchmark positions are not identified or are not compared to the market.
- Marginal: Total compensation is more than 20% above or below the average market for the benchmarks.
- Good: Total compensation is within 10% of the local market.
- Excellent: Total compensation is within 5-10% of the local market.
- Outstanding: Total compensation is within 5% of the local market.

Performance Narrative:

SLAC performed at an Outstanding level in FY2002, the first year of this measure. Although the gradients for this measure assume that a position closer to market is preferable, the gradients were based on the assumption that SLAC was lagging market. Experience under this measure, in which three positions – Administrative Associative, Applications Programmer, and Engineers – were compared to three high-tech research/engineering companies in the local market, resulted in the conclusion that SLAC led the comparators in total compensation by approximately 14%. While base salaries were essentially on-market, SLAC found that the matching on the contributory retirement program, paid time off/vacation accruals, the tuition reimbursement for children of staff, employer contribution for medical coverage, and child care subsidy program were areas in which SLAC led the comparators. Therefore, SLAC's performance under this measure more than meets expectations relative to the intent, that SLAC will develop a total compensation program that will ensure its competitiveness in the local market.

Performance Rating (Adjectival): **Outstanding**	92.00%

Perform Performance Criteria: 3.2 Attraction and Recruitment Methodologies

HR maximizes the use of attraction/recruitment methodologies to meet critical hiring goals.

Performance Measure: 3.2.a (Weight: 17%)

SLAC Employment Services will utilize methodologies specifically designed to attract and recruit candidates for each critical position, to meet each target date.

Performance Assumptions:

SLAC Employment Services will identify critical positions that are defined as those with a target hire date negotiated between Employment Services and the hiring officer.

Performance Gradient:

- Unsatisfactory: No activity is undertaken at all to meet the negotiated target date.
- Needs Improvement: Action are initiated by Employment Services but critical positions on the average are hired more than one month beyond the target date.
- Good: Actions are initiated and critical positions on the average are hired between 3 weeks and one month after the target date.
- Excellent: Actions are initiated and critical positions on the average are hired within one week after the target date.
- Outstanding: Actions are initiated by Employment Services and critical positions on the average are hired before the target date.

Performance Narrative:

Under this measure, SLAC identified ten positions as "critical" for expeditious hiring and made a commitment to partner with hiring managers to determine if partnering would reduce the time required to fill the positions. SLAC found that this approach resulted in a average of 33 days from the posting of the job requisition to the hire date, an impressive improvement over the average of 119 days for

non-targeted positions. In relation to the target date set by the hiring manager, five positions made offers from 0 to 21 days prior to the target, and 5 positions made offers from 1 to 19 days after the target. The average is calculated at 6 days after the target date, meeting the requirements of the Excellent gradient.

Performance Rating (Adjectival): **Excellent**	85.00%

Performance Area: FINANCIAL MANAGEMENT

Cumulative Available Points: 55 points

GOAL # 1: Effective and efficient execution of financial stewardship responsibilities to help ensure optimum use of taxpayers' dollars and protection of the Department's assets against waste, fraud and abuse. SLAC's financial management practices provide for financial stewardship, including compliance and data integrity.

Performance Objective: #1 Financial Stewardship

Effective and Efficient Cash Management **(Total Weight = 8%)**

Performance Criterion: 1.1
Accounts receivable delinquencies are minimized.

Performance Measure: 1.1.a (Weight: 4%)

Reduce the amount of delinquent accounts receivable 90, 91-180, and over 180 days old.

Performance Assumption:

Accounts receivable percentages will be measured at the end of each fiscal year based on the delinquent accounts receivable balances 90, 91-180, and over 180 days old. Eligible delinquent receivables greater than 180 days old must be transferred to OAK for referral to U.S. Treasury. Narrative explanation of special circumstances relating to outstanding accounts receivable balances may be considered for adjustment to the rating.

Performance Gradient:

Outstanding:

No Federal or non-Federal receivables are delinquent more than 180 days. The value of receivables more than 90 days old is less than 1% of the value of total receivables.

Excellent:

The value of receivables delinquent more than 90 days is between 1 and 2% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury.

Good:

The value of receivables delinquent more than 90 days is between 2 and 3% of the value of total receivables and all eligible non-Federal receivables more than 180 days old have been referred to Treasury.

Marginal:

The value of receivables delinquent more than 90 days is between 3 and 4% of the value of total receivables.

Unsatisfactory:

The value of receivables delinquent more than 90 days is greater than or equal to 4% of the value of total receivables.

Performance Narrative:

SLAC achieved an **outstanding** rating and met all objectives for this performance measure. During FY02 SLAC had no delinquencies over 180 days and therefore no receivables had to be referred to the U.S. Treasury. New receivables totaled $7,801,864 more than in FY01 but SLAC held delinquencies to a minimum. Delinquencies 1 – 90 days decreased by $1,779.00 from the year before ($8,831 in FY01; $6,052, FY02) and delinquencies more than 90 days dropped from $186.00 at FY01 year end to zero at the end of FY02.

Performance Rating (Adjectival): **Outstanding**	100%

Performance Criterion: 1.2

Improvements are made to Accounting Processes.

Performance Measure: 1.2.a **(Weight : 4%)**

SLAC Accounting identifies areas needing improvement, formulates plans, and executes significant process improvements.

Performance Assumptions:

SLAC Accounting identifies process improvements possible in travel reimbursement, written procedures, and MARS reporting. Other areas are also possible as improvements are identified.

Performance Gradient:

Outstanding:	Significant improvements are demonstrated in three areas.
Excellent:	Significant improvements are demonstrated in two areas.
Good:	Significant improvements are demonstrated in one area.
Marginal:	Areas of improvement are identified and plans are formulated.
Unsatisfactory:	No areas of improvement are identified.

Performance Narrative:

SLAC Accounting made process improvements in four major areas and therefore merits an **outstanding** rating for this measure.

Payroll. Several time-saving and accuracy-controlling improvements were made for garnishments, vendor payments, time and effort sheets, and long term disability payments.

Labor. The labor process has been simplified to eliminate manually running many single steps in the Human Resources/Payroll side of PeopleSoft, thus speeding up the generation and editing, and practically eliminating the correction, of the journal to post labor to the general ledger. The process is also run on Unix now, not on a personal computer, which also contributes to freeing up accountant time during the short period of month end closing.

Commitments. The handling of commitments has been improved by writing PeopleSoft code so that purchase orders can be viewed as closed by the system, thus eliminating the frequent maintenance

(and related high volume of communication) of a large spreadsheet. This has contributed to a speeding up of the process of closing the books, and producing MARS and internal reports each month. It has also made this part of the system more reliable and robust.

Allocations. Indirect allocations have been re-written so that they are now in PeopleSoft, and not in third-party software. This has greatly improved the closing process and given accountants greater control over the elements of allocation (reducing dependency on programmers to make changes), thus speeding up and simplifying the process of maintaining our allocation structure.

Performance Rating (Adjectival): **Outstanding**	100%

Performance Objective # 2. Financial Stewardship

Quality Budget Formulation & Effective Budget Execution. **(Total Weight = 32%)**

Performance Criterion: 2.1

Budgets are timely submitted.

Performance Measures: 2.1.a (Weight: 9%)

Supportable budgets submissions meet due dates, follow form, include all requested items and incorporate budget validation.

Performance Assumption:

The Laboratory shall provide budget formulation products and services that facilitate effective financial management and stewardship of resources.

Performance Gradient:

Outstanding:

This rating is achieved by meeting DOE customer due dates, following directions, considering uncosted balance in requesting new budget authority, documenting a validation of at least 20% of the budget submission, receiving favorable customers feedback, and reducing cycle time and/or cost of budget preparation.

Excellent:

This rating is achieved by meeting DOE customer due dates, following directions, considering uncosted balance in requesting new budget authority, and documenting a validation of at least 20% of the budget submission.

Good:

This rating is assigned by meeting DOE customer due dates and following the form.

Marginal:

This rating is assigned if the budget is late and no higher rating factors are demonstrated.

Unsatisfactory:

This rating is assigned by not submitting a budget.

Performance Narrative:

SLAC's rating is an **Excellent** for submitting a reasonably priced budget on time. SLAC satisfactorily responded to all DOE Field Budget Submission requirements. Budget formulation during the FY 02 time period (for the FY 04 Budget) got off to a late start and some of the requirements were sent much later due to additional or revised requirements by NNSA. SLAC started their budget preparation based on their Director's guidance and information SLAC had obtained from discussions with the Office of Science staff. SLAC's Budget Office provided guidance on costs and inflation rate information. SLAC should be commended for having the initiative to start the budget formulation process and for being flexible enough to be able to adjust their plans to meet the deadline with the various changes by DOE/NNSA.

SLAC's Budget Office worked closely with the SLAC operation divisions providing guidance, pricing and training as needed to prepare the budget. They made themselves available for consultation and assistance for timely response to questions and concerns of the SLAC operation divisions. Also, SLAC's Budget Office worked with the OAK Budget Division to validate the reasonableness of the Business and ES&H divisions' budget submissions.

Performance Rating (Adjectival): **Excellent**	89.00%

Performance Criteria: **2.2**

Manage uncosted balances

Performance Measure: **2.2.a** **(Weight: 9%)**

Reduce or maintain uncosted balances within the criteria established by the DOE.

Performance Assumptions:

The Laboratory's reports, submissions, and responses to DOE requests for information will be timely, accurate and complete. Ad Hoc requests for cost and planning information will be evaluated and receive a timely response. Ad Hoc request is a request received in writing with a response needed in two days or more.

Performance Gradient:

Outstanding:
This rating is achieved if the annual uncosted report is timely and both accurate and complete and any ad hoc responses are timely and complete. Further, the laboratory demonstrates that it has a system in place that provides costing information to its internal customers. Periodic analysis of costs and notification to internal customers is provided.

Excellent:
This rating is achieved if the annual uncosted report is timely and both accurate and complete and any ad hoc responses are timely and complete. Further, the laboratory demonstrates that is has a system in place that provides costing information to its internal customers.

Good:
This rating is assigned if the annual uncosted report is timely filed and both accurate and complete and any ad hoc request are timely and complete in response.

Marginal:
This rating is assigned if the annual uncosted reports is late and/or requires major rework.

Unsatisfactory:
This rating is assigned if the annual uncosted report is not filed.

Performance Narrative:

SLAC's rating is an **Outstanding** for reducing and managing the uncosted balances. SLAC' budget office has continued to work aggressively with their divisions to manage and/or reduce uncosted balances according to criteria established by DOE. SLAC divisions have access to the SLAC costs

system for checking the status of costs for all their activities and the SLAC budget office produces monthly reports for tracking costs against funding and budgets. SLAC only exceeded DOE's threshold in one area and that was due to fabrication and purchases of equipment.

Performance Rating (Adjectival): **Outstanding**	90.00%

Performance Criterion: 2.3

Costs and commitments of all programs, including cost of work for others and reimbursables are managed properly.

Performance Measure: 2.3.a **(Weight: 14%)**

Ensure costs and commitments are properly reported and within DOE-authorized funding levels.

Performance Assumptions:

SLAC will describe the system used to control costs and commitments, identify the number of DOE authorized funding levels measured, the number of times the DOE authorized funding levels were exceeded, the number of times there were costs in excess of the Obligation Control Level (OCL).

Definitions:

"Properly reported" means that accounting records show costs and commitments in the appropriate accounts.

"Obligational Control Level (OCL)" are shown on summary page of the SLAC approved funding plan that is incorporated in the financial modification. In addition, each individual construction line item, each individual Work for Others order and each individual DOE Transfer Order represent an OCL.

"Within funding levels" means within identified funding in the contract modifications.

"Commitments" are defined as uncosted balances under contracts awarded by the Laboratory that are set aside or encumbered, including purchase orders issued; contracts and subcontracts awarded, including the full liability under lease purchases and capital leases; termination cost for incrementally funded firm fixed price contracts, operating lease agreements, and multi-year service contracts that contain termination clauses; and other agreements for the acquisition of goods and services not yet received uncosted balances related to other integrated M&O contractor liabilities.

Performance Gradient:

Outstanding:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels. Training of internal customers on the laboratory financial system and processes that provide costs control information. Meeting DOE requirements for funding changes within the normal funding cycles.

Excellent:

This rating is achieved by controlling costs within the funding levels identified in the contract modification for each accounting period, a demonstrated internal process that ensures controlling costs and commitments at appropriate DOE-authorized funding levels. Meeting DOE requirements for funding changes within the normal funding cycles.

Good:

This rating is assigned if laboratory costs are within OCL at the end of each monthly accounting period.

Marginal:

This rating is assigned by exceeding OCL in any accounting period.

Unsatisfactory:

This rating is assigned by exceeding OCL in two or more funding areas or accounting periods.

Performance Narrative:

SLAC's rating is **Outstanding** for controlling costs within the funding levels identified in the contract modifications for each accounting period. SLAC has two reports in place to ensure costs and commitments stay within DOE funding levels. There were no reported violations.

Performance Rating (Adjectival): **Outstanding**	100%

Performance Objective # 3. Financial Stewardship

Effective Internal Controls and Audit Findings Follow-up. **(Total Weight = 8%)**

Performance Criterion: 3.1

Provide for effective internal controls and ensure timely and effective resolution and/or follow-up on external and internal review group findings of a financial nature.

Performance Measure: 3.1.a **(Weight: 4%)**

Financial findings are prioritized to achieve timely resolution within the metric guidelines.

Performance Assumptions:

SLAC will partner with OAK in prioritizing finding to achieve maximum resolution response by SLAC. SLAC will produce reports showing the delta between labs scheduled resolution dates and the actual resolution dates.

Performance Gradient:

Outstanding:
96-100% of all events are resolved on schedule.
Excellent:
86-95% of all events are resolved on schedule.
Good:
75%-85% of all events are resolved on schedule.
Marginal:
50%-74% of all events are resolved on schedule.
Unsatisfactory:
Less than 50% of all events are resolved on schedule.

Note:

Factors that will be considered for a higher rating include:

- audits or reviews that do not contain material findings
- proactive leadership in addressing and correcting internal and external audit findings
- aggressiveness of corrective actions schedules

Performance Narrative:

During FY 2002, The DOE Inspector General (IG) conducted an audit of SLAC entitled, "Synchroton Radiation Light Sources at Lawrence Berkeley National Laboratory and Stanford Linear Accelerator Center." The IG did not have any findings for SLAC. It reported that the beam lines at the Stanford facility were being used to the fullest extent practicable.

Stanford Internal Audit issued 6 audit reports during Fiscal Year 2002. Four of these reports had findings and contained recommendations. These audits were:

1. Review of SLAC Purchase Card Program
2. Review of the SLAC Payment Process for Contractors' Invoices
3. Agreed Upon Procedures Performed at SLAC for FY 2001 in Accordance with OMB Circular A-133
4. SLAC Audit of Allowable Costs for FY 2001
5. SLAC Review of Financial Year-End Assets and Liabilities Reconciliation and Cost Transfers
6. Review of SLAC Stores Inventory Reconciliation

SLAC's resolution of audit findings and recommendations showed that about 78% of the events were resolved on or ahead of schedule. This percentage equates to a rating of good. We commend SLAC for audits which did not contain any findings. Moreover, SLAC also pursued aggressive corrective actions on several recommendations.

SLAC has a rating of good for this measure.

Performance Rating (Adjectival): **Good**	79.00%

Performance Measure: 3.1.b **(Weight: 4%)**

Adequate internal controls are in place to ensure that travel costs reported are accurate, complete, and have supporting documentation.

Performance Assumptions:

SLAC will partner with OAK in addressing issues related to travel costs to meet DOE requirements. When requested by OAK, SLAC will provide documentation showing total travel costs of SLAC employees. Travel costs exclude travel performed under work-for-other agreements, travel of subcontractors, travel of users to participate in experiments at DOE user facilities, relocation costs or costs of travel management centers.

Performance Gradient:

Outstanding:

Travel costs reported by SLAC are accurate and satisfy DOE requirements. There is adequate documentation to support the costs. No revisions are made and validations conducted by OAK show no negative findings.

Excellent:

Minor changes are made on the travel costs after validations conducted by OAK. Overall, the travel costs meet DOE requirements. SLAC has sufficient documentation to support reported travel costs.

Good:

Documentation is inadequate to support minor travel costs. After validations by OAK, minor revisions have to be done to conform to DOE requirements.

Marginal:

There is inadequate documentation to support major costs. Major changes have to be done to satisfy DOE requirements.

Unsatisfactory:

SLAC does not report its travel costs or there is no documentation to support the costs.

Note:
Factors that will be considered for a higher rating include:

- OAK validations that have positive findings
- proactive interaction with OAK in addressing and correcting travel costs issues timeliness of submission of travel costs

Performance Narrative:

During Fiscal Year 2002, SLAC reported travel costs of $1.5M. SLAC did not exceed the administrative ceiling of $2.35M. This costs excluded travel performed under work-for-others, travel

of subcontractors, travel of users to participate in experiments at DOE-user facilities, relocation costs or costs of travel management centers. SLAC has adequate support for the costs.

SLAC gets an outstanding rating for this measure.

Performance Rating (Adjectival):	**Outstanding**	90.00%

GOAL # 2: Effectiveness and Efficiency: Achieve cost effective and efficient Financial Management operations by applying available resources to continuous improvement efforts.

Performance Objective: #1.0

Ensure accounting data is recorded accurately and timely in accordance with prescribed standards.
(Total Weight = 20%)

Performance Criterion: 1.1

Financial data is recorded and reported consistently, accurately, and timely.

Performance Measures: 1.1.a **(Weight: 9%)**

DOE required accounting reports are provided by the due date and meet content requirements.

Performance Assumption:

Annual self-assessment will address date and time of report submittals, error rates, and resubmittals required. Describe significant adverse events and steps taken to resolve or prevent recurrence. Reports listed in the table below are addressed by this performance measure.

Performance Gradient:

Outstanding:

In addition to meeting the requirements for Excellent, SLAC's submittals consistently exhibit an innovative/improved approach to the content or reflect more efficient and effective work processes in the functions addressed by the submittals.

Excellent:

Despite the occurrence of significant adverse events, reports are submitted timely, address the content requirements, and are free of significant errors. No resubmittals or extensions of time are required or SLAC is able to overcome the adverse events and submit according to the original deadline rather than the extended due date granted by DOE.

Good:

Except for the occurrence of significant adverse events, reports are submitted on time, address the content requirements, and are free of significant errors. No resubmittals are required. SLAC notifies DOE of adverse events in time for DOE to grant an extension of time in which to make submittals.

Marginal:

One or two reports are submitted late or contain significant errors in content requiring resubmittal. There are no significant adverse events or SLAC fails to notify DOE in time for an extended deadline to be granted.

Unsatisfactory:

More than two reports are submitted late or contain significant errors in content requiring resubmittal. There are no significant adverse events or SLAC fails to notify DOE in time for an extended deadline to be granted.

DESCRIPTION	DUE DATE
MARS	4th Workday, 10:00 a.m.
Reimbursable Work Overrun Reports	Monthly – 10th day
Report on International Transactions	Quarterly
Schedule 220.9 – Receivables Due from the Public – Accounts and Loans	Quarterly
Summary of Individual Contractor Personal Property Sales	Quarterly
Financial Statement Analysis	Annual
Managerial Cost Allocations	Annual
Management Representation Letter	Annual
Current Status of Accounts Receivable from Foreign Obligors	Annual
Annual Disclosure Under FASB 106 – Post Retirement Benefits	Annual
DOE 3230.2 – Report of Contractor Expenditures for Employees' Supplementary Compensation	Annual
Annual Disclosure Under FASB 87 – Pensions	Annual
Statement of Costs Incurred and Claimed	Annual
Estimated Quantity and Usage – Stores	Annual

Performance Narrative:

The table below shows that SLAC has consistently provided accounting reports on a timely basis:

Description	Due Date	Date Submitted
MARS	4th workday monthly, 10:00 a.m. except Sept final due10/10	All timely
Reimbursable Work Overrun Reports	Monthly – 10th day	None reported
Report on International Transactions	10/19	None reported
Schedule 220.9 – Receivables Due from the Public – Accounts and Loans	10/18,1/15, 4/15, 7/15	All timely

Summary of Individual Contractor Personal Property Sales	10/24	Timely
Financial Statement Analysis	11/5	Timely
Managerial Cost Allocations	10/24	Timely
Management Representation Letter	11/8	Timely
Current Status of Accounts Receivable from Foreign Obligors	10/18	Timely
Annual Disclosure Under FASB 106 – Post Retirement Benefits	5/30	Timely
DOE 3230.2 – Report of Contractor Expenditures for Employees' Supplementary Compensation	10/1	Timely
Annual Disclosure Under FASB 87 – Pensions	6/30	Timely
Statement of Costs Incurred and Claimed	11/15	Timely
Estimated Quantity and Usage – Stores	10/15	Timely

SLAC made process improvements in the areas of labor, commitments, and indirect allocations that contributed to their ability to deliver their reports on time with the right content and thus earned an **outstanding** rating.

Performance Rating (Adjectival): **Outstanding**	100%

Performance Criterion: 1.2

FY 2002 Financial Statements hold up under audit by DOE/OIG or Stanford Internal Audit.

Performance Measures: 1.2.a (Weight: 11%)

FY 2002 audited financial statements are prepared in accordance with DOE requirements.

Performance Assumption:

Results of financial statements review activities are analyzed for accuracy and completeness and appropriateness of supporting documentation.

Performance Gradient:

Outstanding:
In addition to meeting the Excellent gradient, there are no audit findings relative to the annual financial statement audit.

Excellent:
Financial statements are complete and accurate and supported by documentation. The financial statement preparation and analysis process is identified and evaluated.

Good:
Financial statements are complete, accurate and supported by documentation. A list of analyses to be performed is prepared and analyses are completed. Information provided to auditors is timely and responsive.

Marginal:
Financial statements are incomplete or inaccurate. There is inadequate response to auditors' requests for information.

Unsatisfactory:
Financial statements are incomplete or inaccurate. There is inadequate response to requests by auditors for information. Auditors are unable to certify OAK financial statements due to SLAC's inadequate financial statement preparation.

Performance Narrative:

The SLAC financial statements were all prepared in accordance with DOE requirements. In addition, SLAC organized on the SLAC documents public directory (available to SLAC employees) all reports from 1994 due OAK and the University. There are folders for Estimated Quantity and Usage, Financial Statement Analysis, Management Representation Letter, as well as the Statement of Costs

Incurred and Claimed. This gives SLAC an excellent basis year in and year out to compare annual financial statements to ensure they are meeting requirements. Additionally, SLAC analyzed their inventory in preparation for yearend and prepared a special spreadsheet showing changes by Balance Sheet Code from the previous year to check for abnormal changes. Each month they reviewed the accounts receivable balances so that at yearend there would be no surprises. Because of this preparation and analysis and the fact that they had no audit findings relative to their financial statements, their performance has been **outstanding**.

Performance Rating (Adjectival): **Outstanding**	100%

Performance Objective: #2.0

Construction projects are capitalized. **(Total Weight = 7%)**

Performance Criterion: 2.1

Construction projects are capitalized.

Performance Measures: 2.1.a **(Weight: 7%)**

Construction projects are capitalized in accordance with DOE requirements.

Performance Assumption:

Construction projects are tracked and processes are established to ensure that projects are capitalized in accordance with DOE requirements.

Performance Gradient:

Outstanding:
In addition to meeting the requirements for the Excellent rating, SLAC implements improvements to the closing process and streamlines it and/or shortens the schedule.

Excellent:
In addition to meeting the requirements for the Good rating, SLAC reviews the closing process and identifies ways to improve it and streamline it and/or shorten the schedule.

Good:
A plan is developed for projects to be closed and capitalized by DOE's year-end established deadlines and all key milestones are met by the due date.

Marginal:
A plan is developed for projects to be closed and capitalized by DOE's year-end established deadlines but more than 10% of key milestones are missed.

Unsatisfactory:
SLAC fails to develop an adequate plan for projects to be closed and capitalized by DOE's year-end established deadlines or more than 20% of key milestones are missed.

Performance Narrative:

SLAC's performance in closing out and capitalizing completed construction projects was **outstanding**. All construction projects were capitalized according to beneficial use and other DOE requirements. In 2002, the Accounting Office, the Budget Office, and Property Control instituted a new procedure. The procedure involved setting up a coordinating meeting, with a place on the annual closing schedule, to review all activities related to capitalizing construction projects. This review, as an addition to the yearend closing process, improved the communication among the participants in the capitalization process.

Performance Rating (Adjectival): **Outstanding**	100%

Performance Objective: #3.0

Effective and efficient indirect cost management. **(Total Weight = 25%)**

Performance Criterion: 3.1

SLAC manages its indirect rates.

Performance Measure: 3.1.a **Weight: 3%**

Using 1998 as a baseline, track and trend FY 1999 through FY 2002 indirect costs. Demonstrate that the costs are efficiently managed.

Performance Assumption:

SLAC will provide reports to DOE indicating the trend of indirect costs and an analysis of trend results.

Performance Gradient:

Track and Trend

Performance Narrative:

SLAC's indirect costs for Fiscal Years 1998 to 2002 are shown below:
Units are in $ x 1,000,000

	1998	1999	2000	2001	2002
Indirect	31.1	34.2	34.2	32.8	35.1
Direct	100.6	110.5	115.2	125.3	136.2
Indirect/Direct	30.9%	31.0%	29.7%	26.2%	25.8%

SLAC's ratio of indirect costs to direct costs has gradually declined from 31% in FY 1998 to 26% in FY 2002. SLAC has been able to control the rise in its indirect costs more aggressively.

The rating for SLAC is good.

Performance Rating (Adjectival): **Good**	79.00%

Performance Measure: 3.1.b	**Weight: 13%**
Policies, data, and reports consistent with Cost Accounting Standards (CAS) compliance and DOE requirements; financial practices are consistent with approved CAS Disclosure Statement.	

Performance Assumption:

SLAC will provide a narrative description of its CAS financial management practices and processes to support this criterion. DOE will partner with SLAC to determine compliance.

Performance Gradient:

Outstanding:

SLAC's financial management practices and processes are fully compliant with CAS and DOE requirements. SLAC demonstrates an excellent, reliable, and systematic method of analyzing and assimilating financial data consistent with the approved Disclosure Statement.

Excellent:

There are very minor differences between SLAC's CAS financial practices and the approved Disclosure Statement or with DOE and CAS requirements. SLAC demonstrates the initiative to improve its CAS financial management practices and processes

Good:

SLAC's CAS policies and processes need some necessary corrections to be consistent with the approval Disclosure Statement or SLAC may also need to make some necessary revisions to its CAS policies to meet DOE and CAS requirements.

Marginal:

Major changes are necessary to bring SLAC's policies and processes in compliance with CAS and DOE requirements or consistent with approved Disclosure Statement.

Unsatisfactory:

SLAC CAS financial management policies and processes do not fully comply with CAS and DOE requirements or are not fully consistent with the approved Disclosure Statement.

Note:

Factors that will be considered for a higher rating include:

- agreed audit report finings
- proactive interaction with DOE
- training and development of staff and relevant program personnel

Performance Narrative:

The indirect cost allocation methods used by SLAC are in compliance with the causal/ beneficial requirements of CAS. We conducted a review of the practices used by SLAC for allocating indirect costs to safeguards and security projects to determine if SLAC's actual practice of charging indirect

costs is in compliance with its disclosure statement and consistently applied to safeguards and security costs and to all other programs and activities. In that review we determined that the safeguards and security program is not being allocated a disproportionate amount of indirect costs. Based on our analysis, we determined that safeguards and security projects are charged with indirect rates similar to rates applied to other programs and activities. These rates were consistently applied to safeguards and security costs and to all other programs and activities.

SLAC's rating for this measure is excellent.

Performance Rating (Adjectival):	**Excellent**	85.00%

Performance Measure: 3.1.c **Available Points: 5.0**

SLAC prepares and submits the Functional Support Cost Report (FCS) in accordance with DOE requirements.

Performance Assumption:

SLAC will prepare the FSC submission timely and in accordance with applicable guidelines. SLAC will also ensure accuracy of reported data and maintain auditable paper trail of methodology and assumptions used for allocations. SLAC will partner with OAK especially for input on any controversial items which may impact timeliness or accuracy of submission.

Performance Gradient:

Outstanding:

The FSC is submitted on time and in accordance with DOE guidelines. It is accurate, complete, and has adequate supporting documentation. In addition, SLAC demonstrates a proactive interaction with OAK to resolve any FSC issues.

Excellent:

The FSC is submitted on time and SLAC demonstrates the initiative to improve its functional costs collection, analysis, and reporting in order to submit a well-prepared FSC.

Good:

The FSC is submitted on time with some necessary or minor corrections.

Marginal:

The FSC is not submitted timely or is submitted on time but needs major revisions.

Unsatisfactory:

SLAC does not submit the FSC.

Performance Narrative:

SLAC submitted the Functional Cost Report on time. In December 2001 we reviewed and validated SLAC methodology, data and information prior to our inputting it in the DOE Executive Information System. The results were positive and consistent with the Departmental trend of lower functional support costs to total site costs. A comparison of FY1997 to FY2001 data in thousands is as follows:

Category	FY 1997	FY 2001
General Support	$ 20,614	$ 23,968
Mission Support	22,956	27,968
Total Functional Support Costs (FSC)	43,570	51,936
Total Mission Direct	86,107	116,322
Capital/Construction	67,689	41,414

Total Site Costs	$197,366	$ 209,672
Total FSC as % of Total Site Costs	22.1%	24.8%
Ratio of Mission Direct to FSC	1.98	2.24

SLAC's trend in Functional Support Costs as a percent of Total Site Costs for FY2001 increased from 22.1% to 24.8%. The major contributor of the functional support costs increase in FY01 is higher utilities costs, especially for electrical power. More importantly, SLAC's ratio of Mission Direct costs to FSC was 2.24 in FY 2001 compared to 1.98 in FY 1997. Thus, support productivity as measured in dollars has increased by 13%. BEPD's trend analysis for SLAC for FY 2001 shows that mission direct costs increased by $30M from FY 1997 to FY 2001, while functional costs increased by $8M from FY 1997 to FY 2001. This represents a 3.8 to 1 ratio of every new dollar increase in mission direct costs to functional support costs for that period. Also, another good trend that can be observed is the ratio of functional costs to mission direct costs, which decreased from 51% in FY 1997 to 45% in FY 2001.

SLAC's rating for this measure is excellent.

Performance Rating (Adjectival):	**Excellent**	85.00%

Performance Area: COMMUNICATION AND PUBLIC AFFAIRS

Cumulative Available Points: 10 points

Performance Objective: # 1

The SLAC Office of Communications will have systems in place to effectively communicate the mission of the laboratory both internally and externally and to support its scientific programs and achievements. **(Total Weight = 100%)**

Performance Criteria: 1.1

Communications and Public Affairs will maintain SLAC's position as a constructive participant with the general public, neighbors and media representatives. Provide information to the public on the laboratory's scientific programs and achievements. Conducts community relations programs with minimum impact on laboratory operations.

Performance Measure: 1.1.a **(Weight: 70%)**

The Office for Communications organization will provide appropriate staffing and resources for development of effective communication processes and informational materials. Community relations and outreach efforts will convey the laboratory mission, scientific programs and achievements.

Performance Assumptions:

The SLAC Office for Communications encompasses internal and external relations. External relations include liaison with DOE, Stanford University, local communities, media representatives and local educational institutions. Education programs are based on available funding each year. Internal areas include management of information channels (such as web-based information vehicles and staff newsletter) and support functions (including conference management and multimedia services).

Communications and Public Affairs used a track and trend gradient for FY00-FY01. The data collected may serve as a baseline. Public access to the laboratory can be demonstrated quantitatively (e.g. number of people on tours and at public functions, number of hits on public web pages. Qualitative evaluation may also be provided from visitor feedback for SLAC tours, web page comments and/or attendees at public functions.

Performance Gradient:

Composite score of quantifiable metrics developed jointly by SLAC Communications and Public Affairs and OAK annually. The rating category will be subjectively determined by DOE/OAK in agreement with SLAC.

90% - 100%	Outstanding:	Results demonstrate improvements have occurred and more effective processes are in place to systematically achieve the performance measures.
80% - 89%	Excellent:	Results demonstrate some improvements have occurred and effective processes are in place towards more consistently achieving the performance measures.
70%- 79%	Good:	Results fall short of expectations for the Excellent gradient; however, some improvements have occurred and some processes are in place towards achieving the performance measures.
60% - 69%	Marginal:	Results fall short of the expectations for the Good gradient; however, some effort has been made towards achieving the performance measures.
Less than 60%	Unsatisfactory:	No demonstrated improvements and little or no effort expended to develop effective processes towards achievement of the performance measures.

Performance Narrative:

In FY 2002, as a result of recommendations from the 2000 SLAC Communication's Task Force, a Department was formed with the newly created position of Director of the SLAC Office for Communications. The goal of this new department is to work with SLAC's scientific community to communicate SLAC's achievements to the laboratory community, the international scientific community, the media, local and national government, science educators, and the general public. The Office for Communications incorporates current activities such as community, media, university and government relations; science education; *the SLAC Beam Line and The Interaction Point* publications, conference management; the tour program and multimedia services. As a result of the newly formed Department, improvements were made in both internal and external communications including a newly formatted, interactive online newsletter and a significant increase in news coverage reflecting positively on the Laboratory and DOE. Staff members kept OAK Office of Public Affairs, DOE/SSO Site Office and DOE/Headquarters informed of relevant activities throughout the year. Below are highlights of the group's FY 2002 activities in support of external relations:

40th Anniversary

SLAC's 40th Anniversary (Oct. 2002) provided a theme for events throughout the year. There were a series of history columns in the laboratory's newsletter and the celebration culminated in a special event with distinguished speakers that reflected on the Laboratory's achievements over the past 40 years. The planning and implementation of this event created an opportunity to strengthen community

and laboratory relations. The 40th anniversary celebration resulted in excellent news coverage for SLAC and its history.

Media

The Office for Communications hired a full time news writer. This additional staff person facilitated increased coverage from Stanford University media. Press inquiries were diverse. SLAC was featured prominently in many international, national and local news outlets for B Factory scientific results; progress on the Next Linear Collider, the History of SLAC due to the 40th anniversary celebration; and computer science achievements. These outlets included the *CERN Courier, The Economist, Nature, New Scientist, Physics Web Newsletter, San Francisco Chronicle, San Jose Mercury News, BBC News, Physics Web, Washington Post and Nature, Nature online, wired.com, Contra Costa Times* and other local newspapers.

Tour Program

Tours of the Stanford Linear Accelerator Center (SLAC) are conducted several times a week. In FY 2002 the SLAC Tour program accommodated over 6,000 visitors with more than 200 formal lab tours given, including almost 60 educational groups. A sampling of feedback given throughout the year by tour participants indicates appreciation for the excellent tour guides and that complex and technical information is explained in lay terms. There is a high demand for laboratory tours (both internal and external) which are currently given by graduate students. The Public Affairs Office staff members are working on increasing the pool of tour guides; scheduling smaller tour groups more frequently to expand research facilities available for visits, as well as upgrading materials which will be integrated with tour guide training materials.

Performance Rating (Adjectival): **Excellent**	83.00%

Performance Criteria: 1.2

Communications and Public Affairs will maintain SLAC's position as a constructive participant with staff members and the international scientific community. Provide information to the laboratory community on the laboratory's scientific programs and achievements.

Performance Measure: 1.2.a (Weight: 30%)

The Office of Communications will improve and develop effective internal processes for information dissemination and services to the laboratory community. Analyze and implement mechanisms to facilitate participation by members of the laboratory community.

Performance Assumptions:

The SLAC Officer for Communications encompasses internal and external relations. External relations include liaison with DOE, Stanford University, local communities, media representatives and local educational institutions. Education programs are based on available funding each year. Internal areas include management of information channels (such as web-based information vehicles and staff newsletter) and support functions (including conference management and multimedia services).

Communications and Public Affairs used a track and trend gradient for FY00-FY01. The data collected may serve as a baseline. Public access to the laboratory can be demonstrated quantitatively (e.g. number of people on tours and at public functions, number of hits on public web pages. Qualitative evaluation may also be provided from visitor feedback for SLAC tours, web page comments and/or attendees at public functions.

Performance Gradient:

Composite score of quantifiable metrics developed jointly by SLAC Communications and Public Affairs and OAK annually. The rating category will be subjectively determined by DOE/OAK in agreement with SLAC.

Outstanding: Results demonstrate improvements have occurred and more effective processes are in place to systematically achieve the performance measures.

Excellent: Results demonstrate some improvements have occurred and effective processes are in place towards more consistently achieving the performance measures.

Good: Results fall short of expectations for the Excellent gradient; however, some improvements have occurred and some processes are in place towards achieving the performance measures.

Marginal: Results fall short of the expectations for the Good gradient; however, some effort has been made towards achieving the performance measures.

Unsatisfactory: No demonstrated improvements and little or no effort expended to develop effective processes towards achievement of the performance measures.

Performance Narrative:

(See Performance Narrative under Measure 1.1A)
Below are highlights of the group's FY 2002 activities in support of internal relations:

Web First Strategy
In FY 2002, the Communications Group employed a web first strategy to effectively utilize limited staffing and resources to disseminate consistent information internally. Consolidation of information channels is leading to more effective internal dissemination of information and greater ease in access.

The Interaction Point
In August 2002, the Communications Group launched a new and improved online newsletter, *The Interaction Point* (*TIP*) increasing distribution to bi-monthly and making it more interactive for the SLAC community. This was in response to the 2000 Communications Task Force recommendation for improved internal communication. The bi-monthly newsletter is delivered directly to the SLAC community the first and third Friday of each month. Employees are able to submit story ideas and milestones (professional achievements, awards, and events) and can contact the Editors for suggestions, including online channels.

40th Anniversary
SLAC's 40th Anniversary (Fall 2002) provided a theme for events throughout the year. There were a series of history columns in the laboratory's newsletter and the celebration culminated in a special event with distinguished speakers that reflected on the Laboratory's achievements over the past 40 years. The planning and implementation of this event created an opportunity to strengthen community and laboratory relations. The 40th anniversary celebration resulted in excellent news coverage for SLAC and its history.

Support of New Employees Orientation Program
The Communications Group supports the Human Resources Department's new employee orientation program. New staff members are given a tour following the general orientation. This introduces scientific endeavors at the lab to new staff members early in their tenure. The Communications Group also takes this opportunity to introduce themselves to the new staff members and offer their services.

Conferences, Meetings and Seminars
The laboratory hosted 12 major on-site conferences and workshops involving the international scientific community. These included scientific and technical conferences, the annual Summer Institute on Particle Physics, and annual users meetings for the synchrotron and high energy physics scientific communities.

Performance Rating (Adjectival): **Excellent**	85.00%

Performance Area: PERSONAL PROPERTY

Cumulative Available Points: 30 points

Performance Objective: #1 Accountability of Personal Property

SLAC will achieve cost effective accountability for government personal property.

(Total Weight = 40%)

Performance Criteria: 1.1

Equipment Inventory. The Laboratory shall conduct successful equipment inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure: 1.1.a (Weight: 20%)

Equipment Inventory Results. Percentage of equipment accounted for, by acquisition value, in the most recent equipment inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% & Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory:	<98.0%

Performance Narrative:

During FY 2002, SLAC conducted a wall-to-wall inventory of personal property classified as equipment. As a result, SLAC accounted-for 99.99 percent (by acquisition value) or $825,880,888 (3,849 items) of equipment. Nine items valued at $112,393 were unaccounted for.

The OAK Senior Property Administrator participated during the FY 2002 sample inventory validation of 30 items. One hundred percent of the items were located.

Performance Rating (Adjectival): **Outstanding** 99.99%

Performance Criteria: 1.2

Sensitive Property Inventory. The Laboratory shall conduct successful sensitive property inventories as established in its inventory plan. Property accountability records shall be reconciled within 90 days after conclusion of the inventory.

Performance Measure 1.2a (Weight: 20%)

Sensitive Inventory Results. Percentage of sensitive property accounted for, by acquisition value, in the most recent sensitive property inventory conducted will be measured.

Performance Gradients:

Percentage of property, by acquisition value, accounted for:

Outstanding:	99.5% and Up
Excellent:	99.2% to 99.4%
Good:	98.7% to 99.1%
Marginal:	98.0% to 98.6%
Unsatisfactory	<98.0%

Performance Narrative:

During FY 2002, SLAC conducted a wall-to-wall inventory of personal property classified as sensitive. As a result, SLAC accounted for 99.77 percent find rate (by value) or $6,046,485 (3,268 items) of sensitive property. Twelve items valued at $14,177 were unaccounted for.

The OAK Senior Property Administrator participated during the FY 2002 sample inventory validation of 30 items. One hundred percent of the items were located.

Performance Rating (Adjectival): **Outstanding** 99.77%

Performance Objective: #2 Organizational Stewardship and Individual Custodian

SLAC will ensure that both stewardship and custodianship for personal property is maintained.
(Total Weight = 10%)

Performance Criteria 2.1

Organizational Stewardship and Individual Custodianship. The Laboratory will ensure organizational and individual accountability (stewardship and custodianship, respectively) for property.

Performance Measure 2.1.a (Weight: 10%)

Timeliness of Assignment. The accountable individual is identified for equipment and sensitive property, and the timeliness of such identification is measured.

Performance Assumptions:

- -% of accurate custodian assignments for sensitive property (Weight = 33%)
- -% of accurate custodian assignments for equipment (Weight = 33%)
- -% of initial custodians assigned within 60 days (Weight = 34%)

Note: Points are evenly distributed among the three sub-measures above.

Performance Gradients:

Outstanding:	98.0% & Up
Excellent:	95.5% to 97.9%
Good:	90.0 to 95.4%
Marginal:	85.0% to 89.9%
Unsatisfactory	<85.0%

Performance Narrative:

There are three related elements which are considered for this performance measure: percentage of accurate custodian assignments for sensitive property, percentage of accurate custodian assignments

for equipment, and percentage of initial custodians assigned within 60 days. Based on a random sample of 60 items, 100 percent of sensitive property was accurately assigned to custodians, and 100 percent of equipment was accurately assigned. From the total 1,275 personal property items received during FY 2002, 99.69 percent were assigned within 60 days following receipt.

Performance Rating (Adjectival): **Outstanding**	99.90%

Performance Objective #3 Utilization of Property

SLAC will ensure proper utilization of government property.

(Total Weight = 10%)

Performance Criteria 3.1

Vehicle Utilization Program. The Laboratory will ensure proper utilization of government motor vehicles.

Performance Measure 3.1a (Weight: 10%)

Measure Vehicle Utilization. Percentage of total eligible motor vehicles meeting local utilization criteria will be measured using the average utilization percentage for each class of vehicles. Reviews will be completed for each class of motor vehicles with established utilization criteria.

Performance Assumptions:

The average utilization percentage will be calculated for each class of vehicles by dividing the overall utilization measured into the overall utilization standard. As an example, 10 vehicles with a utilization standard of 1,000 miles per year would equate to an overall utilization standard of 10,000 miles per year. If the overall utilization measured 9,500 miles, then the average utilization percentage would be 9,500/10,000 or 95%.

Performance Gradients:

The average utilization percentage for motor vehicles will be measured:

Outstanding:	98% & Up
Excellent:	95% to 97.9%
Good:	90% to 94.9%
Marginal:	85% to 89.9%
Unsatisfactory:	<85%

Performance Narrative:

SLAC motor vehicle utilization is measured in five specific vehicle classes. SLAC vehicles are classified by the nature of their intended use with individual utilization criteria established by class. During FY 2002, all SLAC vehicle classifications except the tour bus exceeded 100 percent utilization, with off-site pool vehicles achieving 106 percent, on-site pool vehicles 185 percent, off-site service vehicles 110 percent, and on-site service vehicles 184 percent. The single tour bus, used for on-site tours, achieved 30 percent utilization. The SLAC cumulative institutional fleet utilization for all vehicle classes for FY 2002 was 123 percent.

Performance Rating (Adjectival): **Outstanding**	98.00%

Performance Objective #4 Customer Satisfaction

SLAC will strive to improve customer satisfaction. **(Total Weight = 10%)**

Performance Criteria 4.1

The Laboratory listens and responds to its internal and external customers and stakeholders in a fair and open process that encourages dialogue and participation.

Performance Measure 4.1a (Weight: 10%)

The Laboratory shall select areas in which to determine the needs of its customers relative to its property management systems and methods. Measurement of improved customer satisfaction will be from an established baseline. The Laboratory will submit its selection by December 1, 2001 and its plan of action by April 1, 2002.

Performance Gradients:

Outstanding:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones exceeded. Documentation of results versus the baseline demonstrates significant improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Excellent:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and milestones met. Documentation of results versus the baseline demonstrates improvements in customer satisfaction relative to product improvement (ease of use and timeliness).

Good:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented and plan is initiated.

Marginal:

Identify customers (end users), provide rationale for process by which customer input is to be gathered and establish methods for measurement. An implementation plan with scheduled milestones is documented but not initiated.

Unsatisfactory:

An implementation plan is not submitted and/or milestones are not met.

Performance Narrative:

Starting in FY 1998 and going through FY 2000, SLAC's customers were surveyed relative to its property management systems and methods. They were surveyed again in FY 2002. All milestones identified were completed prior to the scheduled dates.

The FY 2002 survey measured accessibility and quality of the property database, the use of the property pass system, the inventory/marking service, the salvage operations service, the warehouse storage service and the online property transfer system. Three hundred and twenty seven employees were surveyed with 59 responses received. The three recommendations for improvement from the FY 2002 survey have been implemented.

The survey reflected an above average level of customer satisfaction.

Performance Rating (Adjectival): **Excellent**	85.00%

Performance Objective #5 Information to Improve/Maintain Process

SLAC ensures that Property Management programs are consistent with policies and procedures approved by DOE. **(Total Weight = 16%)**

Performance Criteria 5.1

Self-Assessment of Policies and Procedures. The Laboratory shall plan, conduct, document and report annually, the results of a successful property management system evaluation.

Performance Measure 5.1.a (Weight : 16%)

Assessing Support Processes. The property process shall be measured against identified system evaluation criteria established in the plan.

Basis for Rating:

SLAC's self-assessment worksheets provide the activities to be measured, point value for each activity and performance gradients.

Performance Narrative:

During FY 2002, SLAC assessed internal processes against DOE-OAK approved policies and procedures in the areas of excess property disposition, warehouse storage, loans and offsite use of personal property.

As a result of the assessment, it was determined that 100 percent of the excess generated throughout the year had been disposed of within 180 days, with most items addressed within 69 days. One hundred percent of items currently in storage are properly documented, and 31 storage tags were closed out during the year. Of the 34 personal property loans in place only one loan is pending final disposition of property. Property passes for items used offsite were reviewed on a monthly basis. A new process was implemented whereby employees using personal property offsite, and those approving the property passes, were notified by email. All items on file are current for FY 2002.

Performance Rating (Adjectival): **Outstanding** 100%

Performance Objective #6 Cost Efficiency

SLAC ensures that property is managed appropriately to balance performance and cost.
(Total Weight = 7%)

Performance Criteria 6.1

Performance/Cost Efficiency. The Laboratory shall ensure that property processes/products are provided in the most cost efficient manner while maintaining desired levels of performance.

Performance Measure 6.1.a (Weight: 7%)

Measuring Cost Efficiency/Effectiveness. The Laboratory shall measure its ability to effectively balance property management costs and performance.

Performance Gradients:

	Performance Level			
Cost vs. Baseline Plan Developed Each Year	Higher Gradient or Outstanding	Same Gradient	Lower Performance and Not Less Than Good	Lower Performance and/or Less Than Good
Less Cost	Outstanding	Excellent	Good	Marginal
Same Cost	Excellent	Good	Marginal	Unsatisfactory
More Cost	Good	Marginal	Unsatisfactory	Unsatisfactory
More Cost More Requirements	Renegotiate Performance Gradients for Critical Activities			

Performance Assumptions:

The Laboratory will select an area for measuring cost efficiency/effectiveness. Where properly justified and approved by DOE, the Laboratory may elect to extend the performance period for this measure over two evaluation periods. The first year the Laboratory will submit a plan reflecting the area to be addressed, outlining the approach to be employed in establishing an appropriate baseline

and developing the gradients for the following evaluation period. Calculations for cost savings may be based on reduced man-hours. Approach and implementation of the plan will be evaluated the first year. The final milestone of the plan will be to develop gradients for results desired by the end of the second year. These gradients will be the basis for evaluation in the second evaluation period.

Performance Narrative:

During FY 2002, SLAC explored the processes for receipt of excess property and warehouse storage renewal for opportunities to increase cost efficiencies.

For the receipt of excess property, the Business Information System was modified to notify the custodian with an on-line property transfer form. When the form is completed, the custodian is notified that the item has been received at the warehouse.

After exploring several alternatives, the storage review and renewal process was modified by placing the process on-line as opposed to the previous manual process. The storage form was made available on-line.

SLAC was able to make these improvements while not negatively impacting performance.

While it is evident that efforts were expended to improve these areas, the Self-Assessment document does not provide quantifiable data which would indicate how much cost savings and/or time savings have been realized by the improvements.

Therefore, SLAC is rated as "Good" for this measure.

Performance Rating (Adjectival): **Good**	75.00%

Performance Objective #7 Learning and Growth

SLAC shall ensure that there is a program for achieving and maintaining learning and growth in the property management organization. **(Total Weight = 7%)**

Performance Criteria 7.1

Evaluation of Learning and Growth and Employee Alignment. The Laboratory will foster learning and growth and employee alignment in its property management organization.

Performance Measure 7.1.a (Weight: 7%)

Measuring Learning and Growth and Employee Alignment. The Laboratory will have a process in place to measure learning and growth as well as to understand and address workforce expectation

Basis for Rating:

An employee learning and growth plan shall be developed in partnership with DOE by November 30, 2001, providing the expected activities to be measured and milestones for completion of activities.

Performance Assumptions:

Learning and growth is the alignment of organizational performance goals and workforce skills (both current and future). Elements to be evaluated and rated will be submitted to and approved by DOE.

Performance Gradients:

Outstanding:	97% & Up of plan milestones met
Excellent:	95% to 96% of plan milestones met
Good:	80% to 94% of plan milestones met
Marginal:	75% to 79% of plan milestones met
Unsatisfactory:	<75%

Performance Narrative:

For FY 2002, SLAC conducted internal refresher training of Introduction to Hazardous Waste, as well as employee orientation, and general radiation training. In addition, some staff members attended forklift training. For those external to the Property Management organization, written property awareness material was distributed. A specific notification was distributed to credit card users reminding them of property management responsibilities. In addition, new employee property management orientations were conducted. SLAC Property Management staff participated in National Property Management Association meetings and conferences.

Performance Rating (Adjectival): **Outstanding**	98.00%

Performance Area: **PROCUREMENT**

Cumulative Available Points: 25 points

Performance Objective #1 Customer Satisfaction

SLAC shall periodically assess the degree of satisfaction with Purchasing's ability to meet customer needs in terms of timeliness, quality, and communication. **(Total Weight = 15%)**

Performance Criteria: 1.1 Customer Feedback

As a continuous indicator of overall customer satisfaction, Purchasing shall survey the needs and satisfaction of its Laboratory customers relative to its purchasing systems and methods.

Performance Measure: 1.1.a Customer Satisfaction Rating

A customer satisfaction rating for the Purchasing function shall be created from the results of transactional surveys. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

(Weight: 15%)

Performance Assumptions:

Included in the evaluation will be a summary describing the activities that support the score achieved. Consideration will be given to activities/efforts taken to improve customer satisfaction.

The following formula shall be applied to measure customer satisfaction using transactional surveys:

$$\text{Customer Satisfaction Rating} = \frac{\text{Number of Satisfied Customers}}{\text{Total Number of Customers Surveyed}}$$

Performance Gradient:

Outstanding:	≥95% of customers responding to survey are satisfied.
Excellent:	90 – 94.9% of customers responding to survey are satisfied.
Good:	80 – 89.9% of customers responding to survey are satisfied.

Marginal:	70 – 79.9% of customers responding to survey are satisfied.
Unsatisfactory:	60 – 69.9% of customers responding to survey are satisfied.

Performance Narrative:

In June 2002, a Transactional Customer Satisfaction Survey was conducted via telephone and in-person interviews. Each participant was asked to respond to a series of 17 statements pertaining to specific purchase orders. Areas assessed were timeliness, quality, communications, schedule, best value, overall satisfaction, and performance. Randomly selected purchase orders were used for the survey. Of the 24 customers surveyed, 24 were found to be satisfied with Procurement's ability to service their needs. This correlates to a 100% customer satisfaction rating.

It should be noted that 24 customers surveyed out of the thousands of purchase orders issued and hundreds of customers seems like a very small data sample from which to draw any relevant conclusion. In FY01 the sample size was 21 with the same results. The sample should be larger to better correlate with the data universe. In addition, the survey provides six possible responses to the 17 statements but only two possible conclusions, satisfied or not satisfied. The data is somewhat inconclusive in that varying degrees of satisfaction are rolled into two. This is the same methodology used in FY01. The treatment of data results should be expanded. These concerns have been discussed with Procurement and a mutually acceptable resolution will be negotiated. Weighing the survey results together with the mentioned concerns, this Performance Measure receives an adjectival rating of Outstanding with a percentile rating of 95%.

Performance Rating (Adjectival): **Outstanding**	95.00%

Performance Objective #2 Management of Internal Business Processes

SLAC shall have systems in place to ensure Purchasing Department programs operate in accordance with policies and procedures approved by DOE and which ensure that business operations are conducted at an optimum operational effectiveness level. **(Total Weight = 55%)**

Performance Criteria: 2.1 System Evaluation

SLAC conducts, documents, and reports annually the results of a successful assessment of its purchasing system against established evaluation criteria.

Performance Measure: 2.1.a Assessing System Operations

The SLAC purchasing system shall be assessed against system evaluation criteria as identified in its annual Balanced Score Card Self-Assessment Plan. This internal control assessment shall measure the percentage of systems in full compliance with applicable laws, regulations, prime contract terms and conditions, and SLAC policies and procedures.

(Weight: 25%)

Performance Gradients:

Outstanding:	≥90% of systems in full compliance.
Excellent:	85 – 89.9% of systems in full compliance.
Good:	80 – 89.9% of systems in full compliance.
Marginal:	75 – 79.9% of systems in full compliance.
Unsatisfactory:	<75% of systems in full compliance.

Performance Narrative:

To ensure compliance with applicable laws, regulations, prime contract terms and conditions, SLAC policies and procedures, Procurement conducted its annual review of procurement transactions during the period of July 23, 2002 through September 6, 2002. The files reviewed consisted of 300 purchase orders randomly selected from the period September 2, 2001 through May 31, 2002 which represents $6,682,479, or 18% of the total value of $37,403,486 for all purchase orders awarded during this period. The review focused on the following areas:

Review Topic	Total Found Compliant	Per Cent Compliant
1. PR Processed Timely	237 out of 300	79%
2. Discount Taken	195 out of 201	97%
3. PWHA Obtained	11 out of 13	85%
4. Sole Source Justification	53 out of 61	87%
5. Price Analysis	286 out of 300	95%
6. Proposal Accepted as proposed	192 out of 201	96%
7. EEO Certification Properly Completed	83 out of 89	93%
8. Reps & Certs complete	85 out of 103	83%
9. Use of DOE ICPT Agreements	36 out of 38	95%
10. Accuracy of COI citation	297 out of 300	99%
11. Debarred Listing Cite	292 out of 300	97%
12. Financial/Technical Responsibility	194 out of 201	97%
13. Buy American Waiver	8 out of 9	89%
14. Non-excessive verbiage	100 out of 100	100%
15. Correct Optional Clauses (s) used	292 out of 300	97%
16. Overall Adequacy of File Documentation	263 out of 300	88%

The review followed Procurement's procedures which defines the review process and used the DOE approved checklist to collect data. Various managers and senior buyers performed the review of the transactions. DOE validated the process by randomly spotchecking the results for thoroughness and accuracy. Using 80% as the standard for compliance, fifteen of the above sixteen areas are in compliance. The area not in compliance, PR Processed Timely, buyer training/reinforcement in timely placement of awards is necessary. Management and buyer attention to this area will be refocused through the generation of a monthly award report to be discussed in a monthly meeting of managers and buyers. In addition, Procurement will present to the DOE the results of its monthly meetings and the status of its progress in addressing this non-compliance. Where possible, the DOE will attend the monthly meetings. This issue will require on-going DOE surveillance throughout FY03.

In addition to PR Processed Timely, the following areas need Purchasing management and DOE attention: Sole Source Justification, Price Analysis, EEO Certification Properly Completed, Reps & Certs complete, Accuracy of COI citation, and Debarred Listing Cite. Each of these areas is deemed especially critical for the processing of a proper buy, and, as such, should be as close to 100% compliance as possible. If any of these areas is not properly prosessed by the buyer, then the order shouldn't be signed off and released. These areas will be audited by the DOE in FY03 to ensure compliance.

Overall, 2,624 data points of 2,816 were found to be compliant. This is a rating of 93.2%.

It should be noted that Purchase Card actions are not among the 16 subject areas. Considering the sensitivity of the P-card area, inclusion in the FY03 performance measures should be considered.

Performance Rating (Adjectival): **Outstanding**	93.00%

Performance Criteria: 2.2 Supplier Performance

SLAC shall manage its suppliers in such a manner as to ensure that the goods and services provided meet the Laboratory's requirements.

Performance Measure: 2.2a Measuring Supplier Performance

SLAC shall measure the performance of its suppliers by dividing the number of line items delivered on time by the total line due (or total line items received).

(Weight: 5%)

Performance Assumptions:

SLAC has designed a PeopleSoft query to capture vendor performance by line item deliveries. SLAC has elected to use a definition of on time delivery of up to 2 days after the purchase order due date allowing for internal processing of the delivered items.

The following formula shall be applied to measure supplier performance:

$$\text{Supplier Performance} = \frac{\text{Number of line items delivered on time}}{\text{Total line items due/received}}$$

Performance Gradient:

Outstanding:	≥85% of items delivered on time.
Excellent:	75 – 84.9% of items delivered on time.
Good:	65 – 74.9% of items delivered on time.
Marginal:	55 – 64.9% of items delivered on time.
Unsatisfactory:	<55% of items delivered on time.

Performance Narrative:

Of the 15,225 Purchase Order line items measured during FY02, 9883 were delivered on time for an on-time delivery rate of 64.9%. This falls just within the marginal rating and well short of SLAC's stated goal of 85%. Additionally, the performance for deliveries in FY01 was 64%. The low performance in FY01 was ostensibly due to SLAC's Christmas holiday stand-down week when deliveries weren't logged into the system because personnel were off work. Procurement resolved

that issue with new procedures and FY02 expected to see marked improvement. Obviously, that didn't happen. In discussions with the Purchasing Officer, the root cause of this problem is likely a combination of the stand-down week situation plus buyer and vendor inattention. The stand-down week situation has been cured, so attention will now be focused on buyer and vendor behavior. Action will be taken to monitor delivery status at closely spaced intervals throughout the year. In addition, Procurement has begun a refresher training program for the buyers that stresses the importance of on-time deliveries and requires them to monitor vendor activity more closely while giving management delivery status at regular intervals. Additionally, increased emphasis is being placed on management techniques for acquiring delivery status such as data collection and interpretation as well as communication. For FY03, this area needs special monitoring by the DOE. Procurement will supply monthly delivery status to the DOE for analysis. It is anticipated improved delivery status will be quickly achieved.

Performance Rating (Adjectival): **Marginal**	69.00%

Performance Criteria: 2.3 Effective Utilization of Alternative Procurement Approaches

SLAC shall measure the transfer of traditional purchasing activities such as supplier selection, best value determination, ordering and receiving, from the purchasing organization directly to the user organization

Performance Measure: 2.3a Traditional purchasing activities transferred

Optimum percentage of transactions placed by users (JIT, Purchase Card, Blanket Order Releases).

(Weight: 5%)

Performance Assumptions:

The following formula shall be applied to measure the effective use of alternate procurement methods by users:

$$\text{Percentage of transactions placed by users} = \frac{\text{Total number of transactions placed by users}}{\text{Total number of transactions}}$$

The CAPS target is set at 72.5%

Performance Gradient:

Outstanding:	≥ 75% of transactions placed by users.
Excellent:	≥ 70% of transactions placed by users.
Good:	≥65% of transactions placed by users.
Marginal:	≥60% of transactions placed by users.
Unsatisfactory:	<60% of transactions placed by users.

Performance Narrative:

In FY 2002, SLAC's procurement users issued 21,959 transactions of 29,657. This equates to a percentage of transactions placed by users at 74%. In FY01 the percentage was 76%. This slight reduction lowers the adjectival rating from Outstanding to Excellent from one year to the next. This indicator hovered around 75% during spotchecks in FY02. Because the final tally fell below 75%, the DOE needs to increase its monitoring of the data in FY03 to check any further decline. Additionally, the DOE needs to foster increased management attention to this indicator with the end in mind of

increasing performance. Therefore, the DOE will receive monthly data on this indicator and meet with the Purchasing Officer to determine activities that could improve performance.

Performance Rating (Adjectival): **Excellent**	88.00%

Performance Measure: 2.3b Rapid purchasing activities transferred.

Percentage of transactions placed through Rapid Purchasing Techniques (RPT) (number of transactions placed through Rapid Purchasing Techniques divided by the sum of total transactions including purchase cards, long-term purchasing agreements, e-commerce, JIT, ICPT, oral purchasing orders, strategic agreements and supplier programs).

(Weight: 5%)

Performance Assumptions:

The following formula shall be applied to measure the effective use of alternate procurement methods by users:

$$\text{Percentage of transactions placed by RPT} = \frac{\text{Total number of RPT transactions placed}}{\text{Total number of transactions}}$$

The CAPS target is set at 85.2%

Performance Gradient:

Outstanding:	$\geq$ 85% of transactions placed by RPT.
Excellent:	$\geq$ 80% of transactions placed by RPT.
Good:	$\geq$ 75% of transactions placed by RPT.
Marginal:	$\geq$ 70% of transactions placed by RPT.
Unsatisfactory:	< 60% of transactions placed by RPT.

Performance Narrative:

In FY 2002, SLAC issued 22,614 transactions of 30,312 by RPT. This equates to a percentage of transactions placed by users at 74.6%, which is rated Marginal performance. This is a new indicator and management is still attempting to understand how best to affect its outcome. FY02 was a trial balloon that didn't float as high as it was hoped. Procurement management and the DOE will increase monitoring of the data in FY03 to check any further decline and meet monthly to discuss the interim status of this measure and make course corrections if necessary. Obviously, not all potential RPT transactions have been identified, so a concerted effort will be mounted by management to uncover more. The DOE will closely monitor this activity.

Performance Rating (Adjectival): **Marginal** 69.00%

Performance Criteria: 2.4 Acquisition Processes

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approval purchase requisition and award of the purchase order.

Performance Measure: 2.4a Average Cycle Time

SLAC shall measure the efficiency of the acquisition process by measuring the time between receipt of an approved purchase requisition and award of the purchase order. Measurements will be calculated for all actions for comparison purposes to previous years data.

(Weight: 15%)

Performance Assumptions:

The following formula shall be applied to measure average cycle time (excluding Purchasing Authorization Card):

$$\text{Average Cycle Time} = \frac{\text{Total of Time Between Receipt of Requisitions and Award}}{\text{Total number of Awards}}$$

The DOE target for FY 2002 is 35 – 40 days average cycle time (CAPS) for actions greater than $100,000. The procurement organization will provide in its annual self-assessment, for information purposes only, cycle time results in two categories: ≤$100,000 and total cycle time for all actions.

Performance Gradient: for actions greater than $100,000.

Outstanding:	< 30 days
Excellent:	30 – 35 days
Good:	36 – 40 days
Marginal:	41 – 45 days
Unsatisfactory:	> 46 days

Performance Narrative:

Actions greater than $100,000 had an Average Cycle Time (ACT) of 30.7 days. While this is rated Excellent and very close to an Outstanding rating, it is considerably less than the 11.7 days achieved in FY01. During FY02, monitoring of this performance measure showed every indication that a number comparable to that attained in FY01 would again be achieved. The primary reason for this increase in ACT was due to a number of large dollar buys with an unanticipted number of line items

materializing at the end of the fiscal year. As a corrective action for FY03, Procurement management will emphasize training for the buyers that reinforces the need for them to better align their buys with established lead times. In addition, management will monitor buyer progress of order placement and conduct monthly meetings with the buyers to discuss such progress. A monthly award report will be produced and will reflect the status of on-going buys. The DOE will attend the monthly meetings and conduct independent analysis of the data generated by the award report. Even though an Excellent is a commendable rating, with a little effort on everyone's part, the performance measure could easily earn an Outstanding.

Reportable Results Only:

Action	Results
≤ $100,000	2.1 Days
All	2.4 Days

Performance Rating (Adjectival): **Excellent**	89.00%

Performance Criteria: 2.5 Socio-economic Subcontracting

SLAC shall support and promote socio-economic subcontracting programs.

Performance Measure: 2.5a Meeting Socio-Economic Commitments

This performance measure shall not be weighted nor measured. The SLAC Purchasing Department will provide in its annual Balanced Score Card Self-Assessment Report, for information purposes only, the percentage of subcontract (include purchase orders) dollars awarded in the following four categories:

a) Small Business
b) Small Disadvantaged Business
c) Small Women-Owned Small Business
d) 8(a) Pilot Program Awards

The Balance Score Card Self-Assessment Report will describe annual activities in support of the socio-economic program. Subcontracts qualifying in more than one category may be counted in more than one category e.g., Small Business and Small Disadvantage Business. Lower tier subcontracts cannot be counted toward the primary goal, but may be goaled and reported separately.

The purchasing base for purposes of this measure is all subcontracts award during the fiscal year period, excluding 1) Subcontracts with foreign corporation which will be performed entirely outside of the United States; 2) Utilities (gas, sewer, water, steam, electricity and regulated telecommunications services; 3) Federal Supply Schedule Orders when all terms of the GSA contract apply; 4) GSA Orders when all terms of the GSA contract apply; 5) Agreements with DOE management and operating contractors and University campuses; 6) Federal government and DOE mandatory sources of supply; Federal prisons industries, Industries of blind and handicapped; and 7) Procurement card purchases.

The results of the FY02 effort are as follows:

Category	Goal	Actual	Goal	Actual
Small Business	$27.4M	$ 28.3M	56%	55%
Small Disadvantaged Business	$ 4.9M	$ 4.1M	10%	7.9%
Small Women Owned	$ 2.9M	$ 3.0M	6%	5.8%
8(a) Pilot	$ 980K	$ 2.0M	2%	3.8%
Veteran Owned	NA	$ 122K	NA	0.2%
HubZone	NA	$ 1.3M	NA	2.5%
TOTAL	$49.0M	$51.4M		

In FY 2002, SLAC Procurement attained percentages very close to its goals set with the DOE. In

raw dollars placed, SLAC placed more dollars than expected in all categories with the lone exception of Small Disvantaged Business (SDB). The challenge in SDB resulted, in part, from unanticipated large dollar purchase requests at the end of the year which offered very little Small Business opportunities while expanding the base. In addition, the Pcard program and the DOE Integrated Contractor Purchasing Team initiative both have diverted SB opportunities to other purchasing mechanisms that Procurement can not count as part of its SB effort.

SLAC's socio-economic program is holding its own in a time of diminishing budget. This is due in part to the hiring of the Deputy Purchasing Officer to act as SLAC's advocate for its Small Business Program. Planned FY03 activities include an increased outreach program and increased buyer emphasis on SB placements. DOE will discuss Procurement's on-going performance in monthly meetings with the Purchasing Officer and the Deputy Purchasing Officer. Acting in concert with renewed DOE small business emphasis, SLAC is looking forward to over-the-top performance in all categories for FY03.

Performance Rating (Adjectival): **Not Rated**

Performance Objective #3 Managing Financial Aspects

SLAC shall ensure optimum cost efficiency of its purchasing operations. **(Total Weight = 10%)**

Performance Criteria: 3.1 Process Cost

SLAC shall compare its operating costs for procurement as a percentage of total procurement dollars obligated to benchmarking data and industry standards and establish goals and gradients accordingly.

Performance Measure: 3.1a Cost to Spend Ratio

Operating costs as a percentage of total procurement dollars obligated will be computed. SLAC's operating costs (labor plus overhead) shall be divided by purchasing obligations.

(Weight: 10%)

Performance Assumptions:

The following formula shall be applied to measure the cost to spend ratio:

$$\text{Cost to Spend Ratio} = \frac{\text{Purchasing Organization Cost}}{\text{Total Purchasing Obligations}}$$

Performance Gradient:

Outstanding:	≤ $0.025
Excellent:	$.025 to $.0279
Good:	$.028 to $.0309
Marginal:	$.031 to $.0339
Unsatisfactory:	>$.034

Performance Narrative:

SLAC's Cost to Spend Ratio (CSR) for FY02 is $0.0258. This is a slight increase over the FY01 results of $0.0213. Purchasing Organization Cost increased in FY02 by 2.6% while Total Purchasing

Obligations decreased by 15%. Both of these differences from FY01 to FY02 were anticipated, although the actual amounts came in slightly different from that projected. The data collected in FY02 showed the CSR consistently around $0.025, which is the threshold for Outstanding as well as Purchasing's stated target for FY02. The final tally shows results slightly outside the Outstanding rating and the target. Roughly speaking, the target was missed because the Purchasing Organization Cost was too much by $45,455 or the Total Purchasing Obligations were too little by $1,818,125. Obviously, there are various combinations of the two that would produce the desired results, but the point is, the easiest category to manage is organization costs. That's the lesson learned in FY02. To make this an Outstanding category in FY03, SLAC Purchasing and the DOE need to monitor the organization cost factor more closely and make appropriate adjustments to positively affect performance.

Performance Rating (Adjectival): **Excellent**	87.00%

Performance Objective #4 Learning and Growth

SLAC shall ensure that information and feedback mechanisms are available to purchasing employees to enhance continued successful purchasing operations. **(Total Weight = 20%)**

Performance Criteria: 4.1 Employee Feedback

SLAC shall foster improvement of processes and performance by assessing and pursuing improvements in employee satisfaction.

Performance Measure: 4.1a Employee Satisfaction Rating

A Purchasing employee satisfaction rating shall be created from the results of an employee survey. The satisfaction rating is to be tracked and trended. The Parties will coordinate on the acceptability of the surveying process and contents.

(Weight: 5%)

Performance Assumptions:

Included in the evaluation will be a summary describing the activities that support the employee satisfaction rating achieved. Consideration will be given to activities/efforts taken to improve employee satisfaction.

The following formula shall be applied to measure employee satisfaction:

$$\text{Employee Satisfaction Rating} = \frac{\text{Number of Satisfied Employee}}{\text{Total Number of Employees Surveyed}}$$

Performance Gradient:

Outstanding:	≥ 80% of employees responding to survey are satisfied.
Excellent:	70 – 79.9% of employees responding to survey are satisfied.
Good:	60 – 69.9% of employees responding to survey are satisfied
Marginal:	50 – 59.9% of employees responding to survey are satisfied
Unsatisfactory:	< 50% of employees responding to survey are satisfied

Performance Narrative:

Procurement conducted a survey of its employees in July of 2002 in order to determine their level of satisfaction. The survey questionnaire was approved by the DOE and the calculation of the results from the data obtained conformed to DOE approved guidelines. The percent of satisfied employees was measured by dividing the number of satisfied employees (14) by the number of employees responding to the survey (15). This equates to an Employee Satisfaction Rating of 93.3%. Again, as in Performance Measure 1.1.a, Customer Satisfaction, the mechanics of this area causes data to be collected that could offer much more in the way of analysis but, instead, the results are boiled into an either/or representation. The DOE will pursue discussion about this PM with the intent of expanding the results obtained and, therefore, management awareness of the issues concerning employee satisfaction.

Performance Rating (Adjectival): **Outstanding**	96.00%

Performance Criteria: 4.2 Employee Alignment

SLAC shall ensure individual goals are aligned with SLAC's organizational goals (Key Success Factors).

Performance Measure: 4.2a Validate Alignment of Goals

A review of each buyer's (employee) 2001/2002 Performance Evaluation shall be conducted to ensure the alignment of individual goals is consistent with organizational goals.

Weight: 5%

Performance Assumptions:

The following formula shall be applied to measure employee alignment:

$$\%\ \text{of Employee Aligned} = \frac{\text{Number of Aligned Employee}}{\text{Total Number of Employees with Buying Function}}$$

Performance Gradient:

Outstanding:	90 - 100% of employees aligned.
Excellent:	85 - 89.9% of employees aligned.
Good:	80 - 84.9% of employees aligned.
Marginal:	75 - 79.9% of employees aligned.
Unsatisfactory:	70 - 74.9% of employees aligned.

Performance Narrative:

A review was conducted of the 2001/2002 Purchasing staff's Performance Evaluations to determine if the individual employee goals established were consistent with and supportive of the organizational goals. Employee alignment was found to be 100%.

Performance Rating (Adjectival): **Outstanding** 100%

Performance Criteria: 4.3 Information Availability

SLAC shall make readily available to its employees current information important to the successful performance of their purchasing related functions.

Performance Measure: 4.3a Measuring Availability of Information

SLAC will track and trend the level of information available to Purchasing employees.

(Weight: 10%)

Performance Assumptions:

Information is considered available if it is current or requires only minor revision and the information is in compliance with Prime Contract requirements.

The following formula shall be applied to measure the level of information availability:

$$\text{Level of Information Availability} = \frac{\text{Number of Information Items Available}}{\text{Number of Information Items Needed}}$$

Performance Gradient:

Outstanding:	90 - 100 %
Excellent:	85 - 89.9%
Good:	80 - 84.9%
Marginal:	75 - 79.9%
Unsatisfactory:	70 - 74.9%

Performance Narrative:

In July of 2002, a survey was conducted to determine what information tools are necessary for the employees to do their jobs better and faster and which of these tools the employees had available to them. Purchasing has identified, and the DOE has concurred, the following ten items as essential tools that need to be available in order for the employees to do their jobs:

1. Purchasing Buyers Handbook
2. Purchasing Procedures
3. Conflict of Interest Listing
4. Debarred Listing
5. Business Information System Web Site
6. Thomas Register
7. DOE Integrated Contractor Purchasing Team (ICPT) Homepage
8. FAR and DEAR Web Sites
9. SBA 8(a) and SDB Certification Homepage
10. Purchasing Department Homepage

Of the ten tools deemed necessary, it was found all 10 were available to the employees.

Performance Rating (Adjectival): **Outstanding**	95.00%

Performance Area: FACILITIES MANAGEMENT

Cumulative Available Points: 60 points

Performance Objective: # 1 Real Property Management

The Laboratory will effectively manage Real Property. **(Total Weight = 17%)**

Performance Criteria: 1.1 Office Space Utilization

Real Property is effectively managed consistent with mission requirements and DOE direction.

Performance Measure: 1.1.a (Weight = 17%)

Number of completed milestones/milestones scheduled for completion.

Performance Assumptions:

Intent is to measure the effectiveness, completeness, and timeliness of implementation of Real Property management actions. Milestones will be established in partnership with DOE and made a matter of record in the first month of the fiscal year. Milestones may be established for Facilities Information Management System (FIMS) completeness, office space utilization, substandard building space conversion, real property leases, etc.

Performance Gradient:

Outstanding:	0.900 or greater
Excellent:	0.800 to less than 0.900
Good:	0.700 to less than 0.800
Marginal:	0.600 to less than 0.700
Unsatisfactory:	less than 0.600

Performance Narrative:

All established milestones for Stanford Linear Accelerator Center (SLAC) concerning management or improvement of real property were completed on a timely basis for FY 2002 which justifies a rating of **outstanding**. The milestones included review of the annual Facilities Information Management System (FIMS) Quality Assurance Plan along with verification of population and accuracy of the SLAC portion of the FIMS database, reconciliation between FIMS and the Management Analysis and Reporting System (MARS), optimizing of SLAC office and lab space, and elimination or development and conversion of substandard building space. The completion of all established milestones justifies a score of 96%.

In the area of FIMS, validation of the data has shown 100% population and corresponding accuracy. Updating of FIMS is an ongoing project at SLAC with several meetings held to support and provide information from various sources for inclusion into the FIMS database. At times, additional resources were allocated by SLAC to provide input into the FIMS database.

Space Planning has been working to resolve space-planning problems on site, to include the rehabilitation or demolition of substandard excess space and space utilization now stands at 117 sq. ft. per person, an average of 8.7% below GSA standard at 135 sq. ft. per person. SLAC has continually demonstrated outstanding ability to manage space within the site. For FY 2002 there was 5,000 sq. ft. of space renovated and 14,065 sq. ft. of space demolished.

Several noteworthy projects include third-party funded construction of a project designed to help relieve the lack of local available lodging facilities (User Lodging Facility) that continues with construction now underway, as well as completion of a new third-party funded Support Building. In addition, progress is being made on two other third-party funded buildings, one in the preliminary design phase and one for which donors funds are actively being sought by both Stanford University and the California Institute of Technology (Cal Tech). These projects are the culmination of Stanford University and DOE support and partnering.

Performance Rating (Adjectival): **Outstanding**	96.00%

Performance Objective: #2 Project Management (Total Weight = 15%)

Performance Criteria: 2.1 Facility Construction Projects

Facility construction projects with total project cost greater than or equal to $500k are completed on cost, schedule, and technical baseline.

Performance Measure: 2.1.a (Weight = 8%)

Number of milestones completed on schedule/number of milestones planned.

Performance Assumptions:

The intent is to measure actual progress against that planned for the fiscal year and for the Laboratory to execute facility construction projects within budget. A milestone list for all active projects will be negotiated with DOE at the time that each project is submitted to DOE. Only significant milestones will be listed, but each active project will have at least one milestone. Project completion is based upon beneficial occupancy or beneficial use. By mutual agreement between the Laboratory and DOE, final evaluation may be adjusted because of changes to project final cost, for late/early completion, and/or for increased/diminished scope. DOE /SSO may approve changes to project milestones due to changes in Laboratory funding priorities, programmatic schedules, or delays due to uncontrollable forces, as it relates to this performance measure.

Performance Gradient:

Outstanding:	1.00
Excellent:	equal to or greater than 0.90 and less than 1.00
Good:	equal to or greater than 0.80 and less than .90
Marginal:	equal to or greater than 0.70 and less than .80
Unsatisfactory:	less than 0.70.

Performance Narrative:

All milestones were completed on schedule except for the Campus Cooling Tower project. The project was not funded and delayed to balance the overall GPP budget for FY02. This project was a

lower priority than all other approved projects such as Research Yard Storage Shed, Site 12kV Feeder Loop, Computer Building Cooling Upgrade, and the Research Yard Cooling Tower because the existing system was functioning satisfactorily and other the projects required immediate attention to prevent program impacts. As a result of this re-prioritization, all remaining milestones were completed and resulted in a performance rating of Outstanding.

Performance Rating (Adjectival): **Outstanding**	97.00%

Performance Criteria: 2.2 Construction Project Cost

Line Item project Research Office Building meets cost baselines.

Performance Measure: 2.2.a Total Estimated Cost (TEC) (Weight = 7%)

Actual funds during the fiscal year/planned costs during the fiscal year.

Performance Assumptions:

The intent is to measure Laboratory performance in executing projects within the approved TEC. The baseline TEC may be adjusted for allowed cost or work scope changes, Baseline Change Proposals, DOE directed changes, uncontrolled forces, or changes in programmatic schedules. If TEC is exceeded, the rating will be determined based on the reason and severity of the cost overrun for the project.

Performance Gradient:

Outstanding:	less than or equal to 0.99
Excellent:	greater than 0.99 and less than 1.00
Good:	equal to 1.00
Marginal:	greater than Total Estimated Cost
Unsatisfactory:	greater than Total Estimated Cost

Performance Narrative:

The cost baseline of the Research Office Building (ROB) line item project was measured and evaluated during FY02. A cost profile was developed for the construction phase of the project and actual cost data was tracked to determine performance of the construction. The project experience minimal change orders from the construction contractor and remained on schedule. Performance of the construction phase was excellent and did not encounter any major delays or technical difficulties. The actual cost incurred during FY02 was $5,457K against a construction cost profile of $5,477K resulting in a 99.6% cost expenditure. This performance is rated Excellent.

Performance Rating (Adjectival): **Excellent** 89.00%

Performance Objective: #3 Maintenance Management

The Laboratory will maintain capital assets to ensure reliable operations in a safe and cost-effective manner. **(Total Weight = 40%)**

Performance Criteria: 3.1 Facilities Management

Facility operations and maintenance are effectively managed consistent with mission, risks, and costs.

Performance Measure: 3.1.a (Weight = 20%)

Sum of completion percentage for all milestones worked/milestones scheduled for completion.

Performance Assumptions:

The intent is to measure the effectiveness and timeliness of the Laboratory's facility maintenance program. A list of mutually agreed milestones will be made a matter of record within the first month of the fiscal year. For multiple-facility milestones, completion percentage will be an average of the completion percentages for each facility included in the milestone. If no milestones are selected for the fiscal year, the weight of Performance Measures 3.1a will be added to Performance Measures 3.2.a.

Performance Gradient:

Outstanding:	0.900 or greater
Excellent:	0.800 to 0.899
Good:	0.700 to 0.799
Marginal:	0.600 to 0.699
Unsatisfactory:	less than 0.600

Performance Narrative:

SLAC's performance in the area of facility operations and maintenance was **excellent** in FY 2002. SLAC's Maintenance Program Plan included seven maintenance milestones, five were completed as agreed and two were partially completed resulting in an overall performance ratio of 0.85.

FY 2002 milestone list:

1. Complete a condition assessment of another 20% of the site.
2. Evaluate and recommend for purchase an enhanced preventative maintenance system.
3. Evaluate the present HVAC DDC control system.
4. Provide web based sanitary sewer metering information
5. Combine present transportation and equipment maintenance shops.
6. Provide Maintenance Executive Summary by end of 2nd quarter.
7. Complete the following identified ISMS opportunities for improvement.
   a. Higher priority shall be given to SEM supervisors to complete Employee training Assessments.
   b. SEM will revise the Pre-Work Safety Checklist to identify hazards.
   c. Lock and Tag procedures will be reviewed with all SEM workers.
   d. SEM work authorization processes shall be formalized and documented.
   e. Hoisting and Rigging Committee shall be reminded to become a more active resource by improving communication and actively eliciting inputs.

This year, SLAC's facility management team focused on activities designed to improve the quality of plant and maintenance practices. The milestones included further development of five-year inspection program, enhancement of the preventative maintenance system, evaluation & automation of plant controls and Integrated Safety Management System (ISMS) improvements. The milestone to "Evaluate and recommend for purchase an enhanced preventative maintenance system" is still in the evaluation process with implementation planned for FY03. Work also continues in the design of building modifications for the milestone to "Combine present transportation and equipment maintenance shops" and is planned for completion in April 2003. Accordingly, partial credit of 50% is warranted for these milestones. Noteworthy accomplishment this year was the completion of all tasks identified as opportunities for improvement in a recent ISMS maintenance review conducted by DOE and SLAC representatives.

Considering the FY 2002 milestone selection and their overall effectiveness, a rating of 85 percent is justified for this performance measure.

Performance Rating (Adjectival): **Excellent**	85.00%

Performance Criteria: 3.2 Maintenance Program

The facility maintenance program is effectively managed and performed.

Performance Measure: 3.2.a Maintenance Index (Weight = 20%)

Performance index based on selected Maintenance Performance Indicators.

Performance Assumptions:

A composite index will calculated using a weighted average for selected performance indicators. The list of performance indicators, and the calculation algorithm will be made a matter of record within the first month of the fiscal year. Performance gradient calculations will consider Best-in-Class for comparable Energy Facility Contractors Group (EFCOG) benchmarking participants and the EFCOG average for comparable activities/sites.

Performance Gradient:

Outstanding:	0.90
Excellent:	0.80
Good:	0.70
Marginal:	0.60
Unsatisfactory:	less than 0.60

Performance Narrative:

SLAC's overall maintenance performance is **excellent** among the Energy Facility Contractors Group (EFCOG) benchmarking participants for the selected performance indicators.

The Maintenance Performance composite index score rates SLAC performance compared to the EFCOG benchmarking participants for the following performance indicators:

PMs completed on schedule
Janitorial costs
Direct facility maintenance costs
Roads and grounds maintenance costs
Total Annual Maintenance Costs

SLAC's Facility Maintenance Program composite index score was 81.2% in FY 2002 for the selected Maintenance Index Performance Element Indicators. SLAC was rated best in class for "Direct facilities maintenance costs" performance and was rated above average for "PMs completed on schedule", "Janitorial costs" and "Total annual maintenance costs". Considering SLAC's overall effectiveness and selection of benchmark indicators, a rating of 80% is justified. SLAC's maintenance program performance measure is now rated excellent which is improved from FY 2001 rating of good.

Performance Rating (Adjectival): **Excellent**	80.00%

Performance Objective: #4 Energy Management

Energy will be used in an efficient manner. **(Total Weight = 11%)**

Performance Criteria: 4.1 Use Energy Efficiently

Performance Measure: 4.1.a (Weight = 11%)

Current fiscal year energy goals accomplished/goals scheduled to be accomplished in accordance with the multi-year energy management plan.

Performance Assumptions:

The Laboratory will maintain a multi-year energy management plan, consistent with the thirteen statutory and Executive Order requirements in DOE 430.2. The plan will be negotiated and will be made a matter of record not later than the first month of the fiscal year. Annual goals will include an update of the energy management plan, quarterly reporting of energy use, DOE directed initiatives, and an annual report on in-house energy management. Goals may be revised during the year by mutual agreement between the Laboratory and DOE/OAK.

Performance Gradient:

Outstanding:	0.950 or greater
Excellent:	0.850 to 0.949
Good:	0.750 to 0.849
Marginal:	0.600 to 0.749
Unsatisfactory:	less than 0.600

Performance Narrative:

SLAC completed 20 of 21 Energy Management Plan goals, which results in a performance gradient of Outstanding.
Specific goal accomplishments included: upgrading the Energy Manager position to full time; adding an Energy Management signature line to SLAC's construction permit system to assure compliance

with energy requirements and standards; completion of the "Klystron Gallery Lighting Upgrade Phase I project; implementation of an energy efficient "Task Lamps Promotion"; installation of DDC controls for B-041 second floor lighting circuits; energy efficient motor replacements; installation of a foam roof on B084; replacement of the Central Chiller Plant with energy efficient chillers and variable flow pumping; continued purchase of Energy Star rated PC's and peripherals; additional energy management training; timely submission of DOE reports; and, numerous employee and public energy awareness activities.

SLAC's Energy Manager also developed two project proposals for future consideration: third party financing for a Site-wide lighting retrofit, using an Energy Savings Performance Contract; and, a small photovoltaic demonstration project for the Visitor's Center. One goal was partially completed: a low cost retrofit to upgrade lighting in B-044.

A notable FY 02 accomplishment was the Klystron Gallery lighting project, which was proposed, funded and fully installed within one year. All funding was derived from DOE's Federal Energy Management Program and a grant from the California Energy Commission.

Performance Rating (Adjectival): **Outstanding**	95.00%

Performance Objective #5 Physical Assets Planning (Total Weight = 17%)

Performance Criterion 5.1 Comprehensive Integrated Planning Process

The Laboratory develops documents and maintains a comprehensive, integrated planning process that is aligned with SLAC mission needs.

Performance Measure 5.1.a Planning Process (Weight = 17%)

Assess how the planning process is implemented to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. Integrate the space planning office into the process.

Performance Assumptions:

The planning process is executed to achieve maximum effectiveness in anticipating and articulating DOE and Laboratory needs. SLAC will make a matter of record its major planning activities, with associated milestones, extracted from its Comprehensive Planning Process, within the first month of the fiscal year.

Performance Gradient:

The adjectival rating will be determined by a combination of criteria: a) impact of process improvements throughout the year; b) successful development of a work plan; c) the successful execution of the work plan, and; d) other planning and land use activities throughout the fiscal year.

Outstanding:	0.900 or greater
Excellent:	0.800 to 0.899
Good:	0.700 to 0.799
Marginal:	0.600 to 0.699
Unsatisfactory:	less than 0.600

Performance Narrative:

DOE has rated SLAC's physical assets planning activities for FY 2002 as **Excellent**, at **83.0**. This rating was determined by a combination of criteria: a) development of an annual work plan; b) execution of the work plan; c) impact of activities; d) other planning and land use activities conducted by SLAC throughout the fiscal year; and, e) SLAC's self-assessment. The combination of these criteria allows for a more subjective evaluation, however, objective criterion such as the execution of the work plan is also recognized. The highlights for this year were the update and simplification of the SLAC Comprehensive Site Plan (CSP), the update of key plans, introduction of a Global Positioning System (GPS) technology at SLAC and the commencement of actively sharing site data with the Stanford University campus. The Site Engineering and Maintenance Division (SE&M) at SLAC is responsible for implementing physical assets planning.

Activities designed to effectively improve the planning process are identified in an annual work plan. For FY 2002, eight milestones were identified. Six of eight milestones have been completed, however, the two milestones have progressed. Completed activities include: the update of the CSP integrating the information of the previous CSP and the Institutional Plan thus simplifying the current CSP; the continued recognition and training of the SLAC University Technical Representative (UTR) Guide which identifies and defines roles and responsibilities for project supervision; the conversion of key plans into a web-based document control system; the introduction of GPS technology to be utilized in SLAC facilities management activities; and, the update and distribution of site plans. The updated key plans and site plans coupled with the utilization of GPS technology should be significant factors in the success of future facilities management and planning. Progress has been made on the two remaining milestones, the integration of site data with the Stanford campus and the integration of the Long Range Plan into planning criteria; however, they have not met the milestone goals for FY 2002. It should be noted that both milestones require active participation with the Stanford campus. From discussions with SLAC, it appears that had the Stanford campus been more active, especially with the progress of the Long Range Development Plan which they are the lead entity, these milestones would have been met. Both activities are expected to be included with the FY 2003 work plan and milestones.

DOE remained apprised of major activities and progress through quarterly reporting and by various operational awareness-type meetings. In FY 2002, SLAC continued to execute both the intent and spirit of the LCAM Partnering Agreement between SLAC and DOE Stanford Site Office (SSO). This agreement represents DOE's and SLAC's continued commitment to performance-based management. DOE will continue to work with SLAC to identify process improvements and incorporate them in the annual work plans.

Performance Rating (Adjectival): **Excellent**	83.00%

Performance Area: INFORMATION MANAGEMENT PROGRAM

Cumulative Available Points: 30 points

Performance Assumptions for Information Management:

For purposes of this performance objective, the "information management" elements include Computing (Software and Hardware Management), Records Management, Telecommunications (Voice, Data, Video, Networking, Radio Frequency Management), Printing and Reproduction.

Under each Measure, SLAC and OAK Information Management Division will jointly develop quantifiable metrics annually. The metrics include performance gradients (i.e. meets, exceeds, far exceeds). The score for each Performance Measure is a composite of the metrics for the various Information Management functional areas.

Performance Objective: #1 Information Management Program

The Laboratory manages information as a corporate resource to improve the quality of its products, to add value to scientific programs and customer services, and as a tool to improve its work processes. Information will be made available rapidly and cost effectively and will be distributed to the public, industrial partners and stakeholders, as appropriate.

(Total Weight = 100%)

Performance Criteria: 1.1

IM Systems and Programs Operations

Information's Management systems and programs provide cost-effective quality products and service that meet customer requirements.

Performance Measure: 1.1.a (Weight: 50%)

The Operational Effectiveness of Information Management Systems and Programs, including measurable productivity improvements.

Performance Gradient:

Composite score of quantifiable metrics jointly developed by SLAC and OAK Information Management Division annually.

Outstanding:	Average of 90 or better
Excellent:	Average of 80 to 89
Good:	Average of 70 to 79
Marginal:	Results fall short of the expectation for the good gradient, however some effort has been made to establish effective processes.
Unsatisfactory:	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure.

Performance Narrative:

Information Management (IM) consistently does an **outstanding** job reducing cost, while managing information as a corporate resource, enhancing value to scientific programs and customer services. In the four focus areas for this Performance Measure, Telecommunications, Archives and Records Management, Business Data Processing, & Printing and Reproduction, the Laboratory has demonstrated outstanding improvements in productivity and provisions of cost-effective services and products. As a direct result of SLAC providing cost-effective delivery of products and services, streamlining processes, and renegotiating contracts with local/long distance carriers, SLAC realized a cost avoidance and savings of $248, 00.00 dollars during FY 2002.

During the FY 2002 rating period, SLAC Telecommunications Services Department's operational effectiveness is rated outstanding, and exceeds the required performance objectives established between OAK and SLAC. During the rating period, the EPABX, a Meridian SL1-81C, experienced scheduled downtime of less than thirty minutes, resulting in a reliability factor of 99.9 percent. The Meridian Voicemail System (Meridian Mail) experienced scheduled downtime of less than one hundred twenty minutes, providing a reliability factor of 99.9 percent. Throughout the rating period no problems were reported with emergency wireless equipment.

SLAC has made excellent progress in CIS Desktop Support responding to changing business needs that have required the use of evolving technologies. During FY 2002, SLAC worked to implement major architectural changes which include:

- A new computer farm of 256 dual processor systems to augment existing farms.
- The STK silos were able to utilize 60gb cartridges with good reliability.
- Supported growth of BaBar Objectivity Database from 500tb to over 650tb, the largest known database in the world.
- Improved security and administrative functions through the deployment of Active Directory.
- Completed phase one of the computer center upgrade.

SLAC has continued to work diligently throughout FY 2002 to ensure that additions to the infrastructure provided customers with the continued functionality achieved through last year's efforts.

They have been successful and have once more realized significant cost savings in direct relationship to the Microsoft Enterprise License Agreement.

In addition, the Archives and Records Management Program has made excellent progress in undertaking part 1 of the collection review. SLAC identified holes in the documentation of SLAC's history and prioritized methods to fill them. Top priority has been placed on processing the existing backlog and supporting the 40th anniversary documentation requirements.

SLAC's business service department is doing an excellent job in printing doubled-sided copies, with doubled-sided copying increasing to 93 percent for FY 2002, compared to 88 percent for FY 2001.

SLAC continues to improve the quality of its products, to add value to scientific programs and improve the productivity of the Operational Effectiveness of the Information Management Systems and Programs.

Performance Rating (Adjectival): **Outstanding**	90.00%

Performance Measure: 1.1.b	**Weight: 50%**
The effectiveness of Information Management Systems and Programs in meeting customer requirements.	

Performance Gradient:

Composite score of quantifiable metrics jointly developed by SLAC and OAK Information Management Division annually.

Outstanding:	Average of 90 or better
Excellent:	Average of 80 to 89
Good:	Average of 70 to 79
Marginal:	Results fall short of the expectation for the good gradient, however some effort has been made to establish effective processes.
Unsatisfactory:	No results are demonstrated and little or no effort has been expended in establishing effective processes towards achievement of the performance measure

Performance Narrative:

The IM Organizations met the objectives for customer service and requirements by following cost effective and innovative approaches to measure customer satisfaction, and demonstrate evidence of improvements in customer service. This resulted in a sustained high level of customer service.

The Stanford Linear Accelerator Center (SLAC) Business Application and Support (BAS) division explores business systems and information planning, comparing and learning about new business approaches and technologies that can be used to improve their business practices and information architecture. SLAC has adopted best practices whenever possible and optimized business information systems to improve communications at all levels.

The Stanford Laboratory continues to improve systems and processes for providing support services, effectively communicating with and involving both employees and customers. During FY 2002, the Laboratory launched a major marketing campaign to encourage staff to "Look to the Gateway", a web portal to SLAC resources offering a rapid means for obtaining information. The Gateway was formally launched in February of 2002. During the first six months of operation, there were 8,612 visits to the site. Overall, the website is averaging approximately 147,775 requests per month, a 29.5 percent increase in customer usage. Overall customer satisfaction continues to be high.

Changes in technology have also offered opportunities for improvements in information systems within SLAC. One particular area of interest during FY 2002 has been the Financial Data Warehouse project. Much of the initial design and the needs assessment were completed during the first six

months of the year. Although BAS is ready and prepared to move forward with the implementation, budget constraints have halted the project until FY 2004.
SLAC's Telecommunications Services Department's, "IM Systems Customer Requirements," surpassed objectives and is rated outstanding. SLAC surpassed performance objectives during the FY2002 assessment period. The three categories and performance ratings are: Software Order Satisfaction at 96%, Hardware Order Satisfaction at 87% and Repair Satisfaction at 100%. A combined average of the three objectives is 94%. Moves, additions, and changes pertaining to both software and hardware orders were completed within an average of two working days (software), and ten working days (hardware). Both categories of repairs were completed within an average of one day.

In addition, Archives and Records Management has made outstanding progress in identifying and collecting documentation of the first web site (1991 -1992) at SLAC. The SLAC Archivist arranged, described and inventoried the collection and an online exhibit was created about the first U.S. web site, and mounted in time for the 10th anniversary of the SLAC web site. This was a significant achievement and the site received over 32,000 hits in December 2001.

SLAC has made good progress in purchasing new copying equipments that performs adequately to meet the customer duplicating requirements of the laboratory.

The customer response mechanisms used in the IM Departments resulted in feedback that was subsequently used to adjust activities and create better plans. Several improvements in the customer satisfaction area were realized including more cost effective products and services.

Performance Rating (Adjectival): **Excellent**	88.00%

Performance Area: SAFEGUARDS & SECURITY

Cumulative Available Points: 20 points

The objectives of the safeguards and security performance measures are to:

- Reduce security incidents, property losses and theft;
- ensure the protection of proprietary information;
- ensure protection of government and personal property; and
- ensure the health and safety of SLAC personnel and the general public.

Performance Objective: # 1 Protection of Assets

Reduce the number of security incidents and loss amounts report and document steps taken to alter adverse activity. SLAC will conduct safeguards and security operations to ensure effective protection of proprietary information, personnel, property and the general public.

(Total Weight = 100%)

Performance Criteria: 1.1

Through the cost-effective utilization of tools and procedures, establish a Safeguards and Security program that minimizes incidents and loss amounts while providing data to track how SLAC is improving and to identify which elements need most attention.

Performance Measure: 1.1.a (Weight: 35%)

Maintain data on implementation of Safeguards and Security for
- **Incidents Closures** – consist of how SLAC is evaluating the incidents they have reported in a timely and effective manner.
- **Corrective Action Status** - identifies how well SLAC is responding to findings identified internal and external audit groups. Specifically identifies the findings having associated corrective action plans as well as the plans that are on schedule.
- **Protective Force** – Records of overtime and staffing levels are readily available to the DOE.

Performance Assumptions:

A site security plan, acceptable to DOE, has been developed, implemented and is updated annually.

- An event is a theft, or unaccounted for property as defined in the SLAC Site Security Plan.
- A security loss rate, specific to SLAC, can be developed in order to identify adverse
- Activities regarding property accountability and allow redistribution or reallocation of safeguards and security resources to reverse identified areas experiencing increased loss of property.

Performance Gradient:

The performance gradient in this Measure 1.1.a shall be based on how effectively the contractor develops a meaningful set of objectives criteria to implement the above data of Safeguards and Security in a form of a management tool that program elements that require attention.

Outstanding	90% - 100%	Contractor has documented excellent and meaningful data that address all applicable aspects of security incidents and loss criteria.
Excellent	80% - 89%	Contractor has documented excellent and meaningful data that address 80% of security incidents and loss criteria.
Good	70% - 79%	Contractor has documented meaningful data that address a majority (>60%) of security incidents and loss criteria.
Marginal	60% - 69%	Contractor has been unsuccessful in documenting meaningful data; however, there is evidence of a good-faith effort by the Contractor to do so.
Unsatisfactory	<60%	No evidence of a good-faith effort by the Contractor to obtain meaningful data in this area.

Performance Narrative:

A Site Security Plan was submitted to the Department in December 2002. This plan, with the exception of organization charts is identical to SLAC's 2000 plan. The plan did not address Integrated Safeguards and Security Management nor the pre cautions taken since September 11, 2001.

Although SLAC's theft rate increased for the first time since FY00, no corrective action plan was developed. In FY 01 the theft figures were $1,840 compared to this year of $12,059.81 which is a increased theft rate of 94%.

Due to the performance assumptions and no corrective action plan developed for theft rates the contractor earns a rating of Excellent.

Performance Rating (Adjectival): **Excellent**	80.00%

Performance Objective # 2 Self-Assessments

To promote continuous improvement, SLAC will conduct safeguards and security program self-assessments and implement corrective actions for self-assessment findings, with the goal of timely correction.

Performance Criteria: 2.1 Internal Assessments

The SLAC safeguards and security program will perform comprehensive self-assessments of management systems, operational practices and internal controls as defined by applicable topical and sub-topical areas.

Performance Measure: 2.1.a S&S Self Assessment (Weight: 30%)

An effective self-assessment program, meeting requirements of DOE Order 470.1, *Safeguards and Security Program*, Chapter X, and DOE Guide 470.1-2, *Safeguards and Security Survey and Self-Assessment Guide*, shall be in place to identify compliance related toward meeting self-assessment requirements of topical and sub-topical areas.

Performance Assumptions:

- A site security plan, acceptable to DOE, has been developed, implemented and is updated annually.
- The safeguards and security self-assessment program, as mutually agreed upon between SLAC and DOE, will address applicable topical and sub-topical areas as reflected in DOE Form 5634.1, *Safeguards and Security Survey Report.*

Performance Gradient:

Outstanding:	All surveys complete, accurate and timely
Excellent:	99% - 80% complete, accurate and timely
Good:	70% -79% complete, accurate and timely
Marginal:	60% - 69% complete, accurate and timely
Unsatisfactory:	<60% complete, accurate and timely

Performance Narrative:

No surveys were performed during the 6 month period that these measures were in placed. However, the Laboratory was very successful in the implementation of the Integrated Safeguards and Security Managements Program. Surveys are only required every other year. This rating is based upon last survey results and their first Intergrated Safeguards and Security survey.

Performance Rating (Adjectival): **Excellent**	90.00%

Performance Criteria: 2.2 Corrective Action Planning (Weight: 35%)

A deficiency management program will be in place to ensure corrective actions for discovered deficiencies are developed and completed in a timely fashion.

Performance Measure: 2.2.a Corrective Action Completion (Weight: 35%)

Percent of on-schedule corrective action plans resulting from SLAC self-assessment findings/issues.

Performance Assumptions:

A corrective action plan will be considered completed at the time that the action is documented and completed on schedule.

When a corrective action plan is dependent upon an action (other than validation), that must be completed by an outside agency that SLAC has no direct control over the subject corrective action will not be tabulated as part of the overall percentage.

If a corrective action plan has multiple milestones and the final milestone is scheduled for completion on a date beyond the assessment period, credit for the corrective action plan being on schedule will be awarded if the last milestone that is scheduled for completion during this assessment period has been completed on schedule.

Findings that have corrective action plans with milestones that are not due within the assessment period will be assumed to be on schedule and full credit will be awarded for work in progress.

Performance Gradients:

Outstanding	90% - 100% timely completion of corrective actions that are on schedule
Excellent	80% - 89% timely completion of corrective actions that are on schedule
Good	70% - 79% timely completion of corrective actions that are on schedule
Marginal	60% - 69% timely completion of corrective actions that are on schedule
Unsatisfactory	<60% timely completion of corrective actions

Performance Narrative:

No correction actions plans where developed during this period, although the theft rate increased by 94%.

Performance Rating (Adjectival): **Good**	79.00%

Performance Area: TECHNOLOGY AND INTELLECTUAL PROPERTY

Cumulative Available Points: 10 points

Performance Objective #1

The mission of the Technology and Intellectual Property Management program at SLAC is to manage the utilization, protection, and transfer of Laboratory technology and intellectual property to benefit DOE, SLAC, the scientific community, and private industry. This mission is accomplished by effective management processes for identifying, assessing, disclosing, and protecting technology as intellectual property; by transfer and licensing of innovative SLAC technology to the U.S. private sector; and by R&D collaborations with non-Federal partners for the development of innovative technology. **(Total Weight = 100%)**

Performance Criteria: 1.1

Technology and Intellectual Property are effectively managed for the benefit of DOE, SLAC, the scientific community, and the private sector.

Performance Measure: 1.1.a (Weight: 50%)

Key technologies and inventions are identified, assessed, disclosed, and given intellectual property protection as necessary; technology that is transferred and intellectual property that is licensed provide value to DOE, SLAC, and the recipient.

Performance Assumptions:

1. SLAC has effective administrative systems for identifying and evaluating technologies, disclosing inventions, obtaining intellectual property protection as necessary, and licensing.
2. SLAC has effective inreach and outreach programs to generate and transfer technology.

Performance Gradient:

Outstanding:	narrative and numerical data show outstanding performance.
Excellent:	narrative and numerical data show superior performance.
Good:	narrative and numerical data indicate satisfactory performance.
Marginal:	narrative and numerical data indicate a need to improve performance.
Unsatisfactory:	narrative and numerical data indicate an unsatisfactory performance.

Performance Narrative:

IPLD believes that key technologies and inventions are being identified. Any inventions developed at SLAC are processed by Stanford University's Office of Technology Licensing (OTL) along with inventions created by the University (outside of the M&O Contract). OTL does satisfy DOE's requirements of identifying, disclosing, electing and filing patent applications on SLAC inventions. Therefore, SLAC has effective administrative systems for identifying and evaluating technologies, disclosing inventions, obtaining intellectual property protection as necessary, and licensing.

Since there has been a drop in WFO and CRADAs this year (as stated in more detail below), it would seem that SLAC may be lacking in effective inreach and outreach programs to generate and transfer technology. However, other DOE laboratories have reported lower numbers probably due to a slower economy and lower direct funding by DOE.

For CRADAs, IPLD last year requested Office of Technology Transfer (OTT) to create a laboratory CRADA model. OTT and OAK/SSO is in the final stage of approving the model.

Performance Rating (Adjectival): **Outstanding**	90.00%

Performance Criteria 1.2

Collaborative R&D Projects

Performance Measure: 1.2.a (Weight: 50%)

Collaborative R&D projects provide benefit to DOE, SLAC, the scientific community, and the private sector.

Performance Assumptions:

1. SLAC has effective administrative systems for identifying candidate technologies for collaborative R&D.
2. SLAC has an effective inreach and outreach program to match SLAC staff and potential collaborators.
3. SLAC has effective administrative systems (numerical and narrative) for tracking evidence of benefits.

Performance Gradient:

Outstanding:	narrative and numerical data show outstanding performance.
Excellent:	narrative and numerical data show superior performance.
Good:	narrative and numerical data indicate satisfactory performance.
Marginal:	narrative and numerical data indicate a need to improve performance.
Unsatisfactory:	narrative and numerical data indicate an unsatisfactory performance.

Performance Narrative:

SLAC Technology Transfer Program Review - FY2002:

SLAC continued to make steady progress in Technology Transfer in FY2002, with competent staff targeting industrial sectors, with a continued focus on software. SSO records for FY2002 show DOE approval of 2 CRADAs and 3 Work For Others (WFOs) covering hardware and software projects, and analysis of satellite astronomy data. Both CRADAs were with small businesses, involving HQ-SC Small Business and Innovative Research (SBIR) Grants for critical technology R&D on photocathodes for electron guns and accelerator feedback control software. All three WFOs were with US Government agencies, NASA and National Institutes of Health.

CRADAs:
The hardware CRADA involved a DOE HQ-SC Phase I SBIR Grant to SVT Associates for "Strained-Superlattice Photocathodes for Polarized Electron Sources". This collaborative work brings together SLAC's pioneering design and use of polarized electron sources for accelerator electron guns, with

SVT's expertise in fabricating strained superlattice crystals by molecular beam epitaxy. The goal is the optimum design and material growth conditions for a high polarization, high current photocathode for accelerator electron guns, to be built in a follow-on Phase II project.

The software CRADA, with Pavilion Technologies Inc., is concerned with adaptive computer control of accelerators (SLAC 2-Mile Linac) and storage rings (PEP-II Collider and SPEAR X-ray Light Source). The goal is to increase particle collision rate (Luminosity) and beam lifetime (time between fills). Pavilion is experienced in designing model predictive control (MPC) software for operation of industrial process-control plants. A prototype MPC software package developed during Phase I by Pavilion and SLAC demonstrated the feasibility of applying this technology to accelerator and storage ring control, using SLAC accelerator data. Phase II will develop and test adaptive algorithms to efficiently handle variable dynamics of nonlinear systems for real-time control actions, together with supporting graphical user interfaces (GUIs), etc. required for an accelerator control system.

In addition, SLAC has six ongoing CRADA projects, and several potential collaborative projects under study. A SLAC discussion group is evaluating SLAC technology for antiterrorism use. SLAC Technology Transfer staff: participated in a Department of Commerce workshop on export control regulations; analyzed proposed tech transfer regulations and legislation; and, proposed counterintelligence procedures and transactional authority for CRADAs.

At the end of the fiscal year, SLAC submitted a draft SLAC Model CRADA for DOE's approval. This was submitted in response to several years of requesting a standard format for review. Once DOE and SLAC agree on a final model, the approval process for future CRADAs should be greatly improved.

WFOs:
In FY2003, 2 WFOs involved NASA funding of a SLAC Principal Investigator for reduction and analysis of data from the Chandra X-ray Astrophysics Observatory (in orbit); and, 5-year funding for project management, systems engineering, etc. for the DOE-NASA GLAST Large Area Telescope Project (2006 launch). The third WFO continues National Institutes of Health funding of Protein Crystallography Beamline staff at SSRL, and related operations expenses that benefit NIH investigators and others solving protein crystallography structures at the SSRL X-ray National Users Facility.

Summary Performance Evaluation:
Overall, SLAC's FY2002 Technology Transfer Program sustained a broad, balanced, and productive activity of identifying and disseminating new knowledge, and transferring the Laboratory's unique technology to US industry and government agencies. Over the prior 3 years, 6 or 7 CRADAs were executed; last year, two were executed. In part, this reflects DOE R&D limitations, incl.: lack of funding for the Next Linear Collider, which expects to draw industry partners for technology projects stressing "design for manufacturing" of the tens of thousands of components required to build a 20-mile long particle accelerator; and, phasing out of the DOE Laboratory Technology Research (LTR) program.

SLAC Technology Transfer staff and management are knowledgeable, capable and inspired. DOE-SSO encourages their plans for professional training in software management, policy, IP law, regulation, marketing and financing. Plans for in-reach and outreach seminars are supported, as are periodic meetings with SLAC Project Managers to track progress and development of intellectual property.

Potential FY2003 Technology Transfer areas may arise in: the developing HQ Basic Energy Sciences initiative with SSRL and the Geballe Laboratory for Advanced Materials (G-LAM) on Stanford Univ. campus, to provide basic research underpinning the SPEAR3 National User Facility, and the Linac Coherent Light Source (X-ray FEL); and, SSRL's robotic protein crystallography structure solving part of the National Institutes of Health program, also involving supercomputing centers.

Publication of SLAC research results in scientific and technical journals is the fundamental method of transferring SLAC technology to industry, government, and academia. SLAC's Office of Technology Transfer reviews SLAC publications for potential commercial technology. Ultimately, educating undergraduate and graduate students, and postdocs at SLAC is the most effective way to transfer results of fundamental research at a university to society at large. When former students become professionals in their field, they use technical knowledge in many practical ways, which contribute to commercial products and processes in the United States economy.

Performance Rating (Adjectival): **Outstanding**	92.50%

Performance Area: ENVIRONMENT, SAFETY AND HEALTH

Cumulative Available Points: 110 points

Performance Objective: # 1.

SLAC will perform its work so that personnel hazards are anticipated, identified, evaluated and controlled.

Performance Criteria: 1.1

Exposures of personnel to chemical, physical and biological hazards will be adequately controlled. **(Total Weight = 26%)**

Performance Measure: 1.1.a **(Weight = 7%)**

An Industrial Hygiene exposure prevention program is in place such that:

potential exposures greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV) are anticipated and monitored yearly.

OSHA required substance-specific sampling is planned and conducted yearly as required.

Vulnerable systems are evaluated yearly.

Performance Assumptions:

1. For FY02 the performance period is October 1, 2001 through September 30, 2002.
2. To receive a performance rating at any given level, the requirements of the lower levels of performance must also be met. [This applies only within the Good/Excellent/Outstanding group.]
3. Exposure measurements and evaluations will be written on survey forms and include an assessment of hazard potential and recommendations for controls.
4. Immediate control measures (engineering controls, administrative controls or personal protective equipment) will be implemented when exposure monitoring or evaluations identify the potential for exposures to exceed the Action Level.

5. All exposure evaluation and control measurements will use NIOSH or OSHA methods and appropriately calibrated (per manufacturer recommendations, national consensus standards, or accepted practice) instruments.

6. An exposure measurement is defined as "one or more samples associated with an operation that gives a value which can be compared with an Occupational Exposure Limit."

7. An operation is defined as an activity comprised of one or more tasks performed at a single location that generates a hazard(s). "Hazard" includes all stressors associated with an operation; i.e., noise, lead, etc. (**Note:** Any significant process changes constitute a new operation.)

8. When an exposure measurement is not possible, a qualitative evaluation which determines the probable exposure (comparison to Occupational Exposure Limit) and level of risk (high, medium, or low) shall be documented.

9. Exposure measurements that result in an "exceedence", along with the corrective action taken, will be discussed in the ES&H Quarterly Report.

10. Corrective action taken to reduce personal exposures which are found to be greater than the Action Level will consider the accepted Industrial Hygiene control hierarchy of engineering controls first, then administrative controls, then personal protective equipment.

11. An exceedance is defined as one or more high results (measurements above the Action Level) associated with an operation. When no standard has been developed for an agent, another published occupational health standard will be agreed upon and utilized.

12. Action Level is defined as one-half of the 8-hour TWA, STEL, and CEILING limits for OSHA PELs and ACGIH TLVs, unless a different action level is specified by OSHA. For heat stress, the Action Level is defined as the ACGIH "heavy continuous work" TLV.

13. Types of measurements to be considered are: chemicals, gases, particulates, fibers; biological agents; physical agents such as noise, magnetic fields, non-ionizing radiation, and thermal stress. Note: bulk samples, swipe samples, drinking water samples, and indoor air quality measurements are not to be included.

14. Per OSHA definition, the Laboratory Standard (29 CFR 1910.1450) supercedes substance-specific sampling standards for laboratory operations. Therefore, only non-lab activities, such as shops and crafts, are subject to the substance-specific standards referenced in 29 CFR 1910.1001-1052.

15. A vulnerable system is defined as an exposure control that was in place and operating when exposures were evaluated, but is subject to failure if not maintained, or relies on training. Without it exposures would be higher and possibly exceed the Action Level. Such controls include but are not limited to mechanical ventilation, personal protective equipment and work procedures.

16. The term "all" or "100%" means those operations that actually occur during the performance period. Evaluations that were attempted but were not done because the operation did not occur

will not be counted if supervision was notified of the need to evaluate them and monitoring attempts were documented.

Performance Gradient

Outstanding:

- IH exposure measurements (and corrective action) are completed during the contract period for 100% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 100% of the vulnerable systems.
- The results of the completed sampling plan/yearly monitoring are used to update the three lists specified under "Good".
- 100% of the required beryllium sampling is conducted curing the performance period.
- 100% of the actions required [jointly agreed upon by SLAC and DOE on December 19, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period.
- Beryllium activities in "Good" and "Excellent" are completed, and beryllium operations/use at SLAC is minimized.

Excellent:

- IH exposure measurements (and corrective action) are completed during the contract period for 95% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 95% of the vulnerable systems.
- 95% of the required beryllium sampling is conducted during the performance perod.
- 95% of the actions required [jointly agreed upon by SLAC and DOE on December 19 ,2000] for compliance with Beryllium Rule (10 CFR 850) are completed during during the performance period.

Good:

- A list of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV) is prepared by October 31, 2001.
- A list, specific to SLAC operations, of all substance-specific sampling required by 29 CFR 1910 is prepared by October 31, 2001.
- A list of Vulnerable Systems is prepared by October 31, 2001.
- IH exposure measurements (and corrective action) are completed during the contract period for 90% of operations with potential exposure greater than 1/4 of an Occupational Exposure Limit (or heat stress exposure greater than the ACGIH "heavy continuous work" TLV).

- All "substance-specific" exposure measurements are completed as required by 29 CFR 1910 during the contract period.
- For Vulnerable Systems, an IH evaluation and inspection for effectiveness (and corrective action taken if needed), are completed during the contract period for 90% of the vulnerable systems.
- An inventory of beryllium operations, and a list of beryllium sampling to be conducted during the performance period is prepared by October 31, 2001.
- 90% of the required sampling is conducted during the performance period.
- 90% of the actions required [jointly agreed upon by SLAC and DOE on December 19, 2000] for compliance with the Beryllium Rule (10 CFR 850) are completed during the performance period. These actions are:

    - Baseline inventory of operations.
    - Air sampling of all Be operations that occur (non are planned).
    - Review medical surveillance and ensure it is up-to-date (include offering chest x-ray to Be workers).
    - Cleanup surface contamination – specify # of machines (15-20 machines, 3 sample each).
    - Get CBDPP approved by OAK, and post on SLAC website.
    - Training for all SLAC workers [per CBDPP].
    - Surface sample of areas where Be work was done, develop list of Be areas, and post signs and labels as necessary.
    - Maintain list of former Be workers and current Be workers.
    - Develop emergency response procedures for Be emergencies [per CBDPP].
    - Electronic reporting of data to EH (personnel, exposure and medical data be reported to Be Registry in electronic format) – could be in Excel format or another database format.

Marginal:

- The lists required to be developed under "Good" are not developed by the due date.

- IH exposure measurements and Vulnerable System evaluations required under "Good" are completed at a rate below 90%.

Unsatisfactory:

- Substance-specific exposure measurements are not completed as required by OSHA.

Performance Narrative:

In FY02, the Industrial Hygiene group completed all requirements listed under the Outstanding level for Performance Measure 1.1.a. Exposure measurements and evaluations were completed for all potentially hazardous work. Exposure reports were prepared and associated data are kept on file. Beryllium sampling and other actions required for compliance with the Beryllium Rule were completed. A list of potentially hazardous work and OSHA-required sampling was kept and is up-to-date. Some very minor Beryllium work occurred late in FY02 and was discovered in October

2002. There is some uncertainty at SLAC whether the electronic reporting requirement of the Beryllium Rule (listed in the requirements of this performance measure) applies to SLAC.

Performance Rating (Adjectival): **Outstanding**	**98.00%**

Performance Criteria: 1.2

Accident and injury rates, lost workday rates and the DOE injury cost index are adequately controlled.

Performance Measure: 1.2.a (Weight = 7%)

The period for comparison with the current performance period will be the average of the five previous years (baseline). The lab's frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions will be compared to the SLAC baseline average. A downward trend is expected.

Performance Assumptions:

1. For FY2002 the performance period is July 1, 2001 through June 30, 2002.
2. Each frequency and severity rate in the Research/Services and Construction category will be given a weighted factor in calculating the final evaluation gradient. The weighted factor is based on the amount of person-hours accumulated within each function divided by the total person-hours during the rating period.
3. It is recognized that an initial increase or minimal decrease in rates may be experienced whenever a new prevention program is introduced and that some variability is expected which may not be indicative of a trend.
4. Workers' Compensation costs will be considered during the self-assessment.
5. For FY 2002 and future years, the accident/injury types and baseline years will be updated by mutual agreement of the DOE site office and the Laboratory.
6. Subcontractor operations/personnel are included in the Construction function. Subcontractor statistics will be maintained separately only for those subcontractors reporting hours worked to the Laboratory. Subcontractors are excluded if they are "servicing" the Laboratory (e.g., copy machine vendors or other transient workers).

Performance Gradient:

Outstanding:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 20% below the baseline five year SLAC average.

Excellent:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% below the

baseline five year SLAC average.

Good:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 0% to 9% below the baseline five year SLAC average.

Marginal:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are 1% to 10% above the baseline five year SLAC average.

Unsatisfactory:

The frequency (Total Recordable Cases) and severity (Lost Work Days) rates for the Research/Services composite and Construction functions are greater than 10% above the baseline five year SLAC average.

Performance Narrative:

The frequency and severity rates for Research/Services composite and Construction functions are 38.5% and 56.1%, respectively, below the baseline five year SLAC average resulting in a performance rating of Outstanding for the year. This achievement places SLAC in the top 1/3 of DOE activities and among the best in class for similar research facilities for the fiscal year.

Performance Rating (Adjectival): **Outstanding**	**99.00%**

Performance Criteria: 1.3

Exposures of personnel to ionizing radiation will be adequately controlled. **(Total Weight = 9%)**

Performance Measure: 1.3.a **(Weight = 4%)**

Unplanned radiation exposures (both internal and external), and ORPS reportable occurrences of skin or personal clothing contamination are managed and minimized.

Performance Assumptions:

1. For FY 2002, the performance period is January 1, 2001 to December 30, 2001; i.e. calendar year 2001 (CY01).
2. Radiation doses to non-radiological workers in excess of 100 mrem/yr are considered as unplanned exposures.
3. The number of occurrences is considered to be the number of individuals who experience ORPS-reportable radiation doses or contamination, plus unplanned doses as defined in the above performance assumption.
4. The current projection of the number of radiation doses to non-radiological workers in excess of 100 mrem in CY01, based on best available information, is two (2).
5. In any event, the most recent three-(3)-calendar-year running average will be calculated for application to the latest Performance Gradients at such time that appropriate information is available.

Performance Gradient:

Outstanding:

There are no occurrences

Excellent:

The number of occurrences is equal to or less than 50% of the most recent three-(3)-calendar-year running average of two (2).

Good:

The number of occurrences is equal to the most recent three-(3)-calendar-year running average of four (2).

Marginal:

The number of occurrences is no greater than 150% of the most recent three-(3)-calendar-year running average of two (2).

Unsatisfactory:

The number of occurrences is greater than 150% of the most recent three-(3)-calendar-year running average of two (2).

Performance Narrative:

There were no unplanned exposures or ORPS reportable events of skin or personal clothing contamination.

Performance Rating (Adjectival): **Outstanding**	**95.00%**

Performance Measure: 1.3.b **(Weight = *4%*)**

Occupational radiation doses to individuals (excluding accidental exposures) from DOE activities will be managed to assure that applicable 10 CFR 835 limits are not exceeded.

Performance Assumptions:

1. For FY 2002, the performance period is January 1, 2001 to December 31, 2001; i.e., calendar year 2001 (CY01).
2. Any actual or anticipated significant changes in workloads; i.e. collective dose, will be brought to the attention of SLAC management and DOE so that appropriate adjustments will be made. Significant change in collective radiation dose is defined to be an increase or decrease of 20% or more.

Performance Gradient:

Outstanding:

- No radiological worker at SLAC receives a dose in excess of 500 mrem and no general employee dose exceeds 50 mrem.
- The total collective dose is less than 70% of the previous three-(3)-calendar-year running average.

Excellent:

- No radiological worker at SLAC receives a dose in excess of 1 rem.
- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, do not exceed the laboratory's previous three (3) year running average in two of these dose categories.
- The total collective dose is less than 90% of the previous three-(3)-calendar-year running average.

Good:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose does not exceed the laboratory's previous three-(3)-calendar-year running average.

Marginal:

- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem,

exceeds the laboratory's three-(3)-calendar-year running average in no more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Unsatisfactory:
- The number of individuals with annual measurable doses between 100 mrem and 250 mrem, between 251 mrem and 500 mrem, between 501 mrem and 1 rem, and in excess of 1 rem, exceeds the laboratory's three-(3)-calendar-year running average in more than two of these dose categories.
- The total collective dose exceeds the laboratory's previous three-(3)-calendar-year running average.

Performance Narrative:

No Rad worker exceeded 500 mrem; and only 1 GERT individual exceeded the 50 mrem for the monitoring year.

Performance Rating (Adjectival): **Excellent**	**85.00%**

Performance Measure: 1.3.c **(Weight = 1%)**

Lost or unreturned dosimeter investigations and dose assignments are carried out in a timely manner (within 90 days of the monitoring period).

Performance Gradient:

Outstanding:

- No investigation and dose assignment from a given monitoring period is more than ninety days old.

Excellent:

- No more than twenty percent of the required investigations and dose assignments are more than ninety days old.

Good:

- No more than thirty percent of the required investigations and dose assignments are more than ninety days old.

Marginal:

- No more than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.

Unsatisfactory:

- More than fifty percent of the required investigations and dose assignments are more than ninety days past the end of the monitoring period.

Performance Narrative:

All unreturned dosimeter investigations and dose assignments were closed out within 90 days.

Performance Rating (Adjectival): **Outstanding** **95.00%**

Performance Criteria: 1.4

Radioactive material will be adequately controlled. **(Total Weight = 3%)**

Performance Measure: 1.4.a **(Weight = 3%)**

Radioactive materials, including contaminated and/or activated materials, are controlled at all times so that the number reportable occurrences as defined in SLAC Workbook for Occurrence Reporting does not exceed the current three (3)-fiscal-year running average by more than three (3). The current three-fiscal-year running average is one (1).

Performance Assumptions:

1. For FY 2002, the performance period is October 1, 2001 through September 30, 2002.
2. Each unusual occurrence as defined in SLAC Workbook for Reportable Occurrences will have a weighting factor of 1.5.

Performance Gradient:

Outstanding:	The weighted number of occurrences is equal to zero.
Excellent:	The weighted number of occurrences is greater than zero and less than or equal to 1.5.
Good:	The weighted number of occurrences is greater than 1.5 and less than or equal to 3.
Marginal:	The weighted number of occurrences is greater than 3.0 and less than or equal to 4.5.
Unsatisfactory:	The weighted number of occurrences is greater than 4.5.

Performance Narrative:

There were no reportable incidents of loss of control of radioactive materials.

Performance Rating (Adjectival): **Outstanding** **95.00%**

Performance Criteria: 1.5

Fire Department response time and the rate of completion of required fire protection will be adequately controlled and accomplished. **(Total Weight = 8%)**

Performance Measure: 1.5.a **(Weight = 1%)**

Fire Department will record all fire apparatus response time. All response time will be measured against the pre-fire plan response time.

Performance Assumptions:

All response times will be based on the California Fire Incident Reporting System (CFIRS).

Performance Gradient:

Outstanding:	Meets > 95% anticipated response time indicated in the pre-fire plan.
Excellent:	Meets 90-95% anticipated response time indicated in the pre-fire plan.
Good:	Meets 80-89% anticipated response time indicated in the pre-fire plan.
Marginal:	Meets 70-79% anticipated response time indicated in the pre-fire plan.
Unsatisfactory:	Meets <70% anticipated response time indicated in the pre-fire plan.

Performance Narrative:

The Palo Alto Fire Department emergency response team arrived with the pre-fire plan response time on-site emergencies at a rate of 96%.

Performance Rating (Adjectival): **Outstanding** **96.00%**

Performance Measure: 1.5.b **(Weight = 3%)**

SLAC conducts fire protection survey per the SLAC Fire Protection Program list to ensure their facilities meet DOE fire protection goal and requirements.

Performance Gradient:

Outstanding:	> 95% completion rate
Excellent:	90-95% completion rate
Good:	80-89% completion rate
Marginal:	70-79% completion rate
Unsatisfactory:	<70% completion rate

Performance Narrative:

The Palo Alto Fire Department conducted 95% of the required building inspections.

Performance Rating (Adjectival): **Excellent** **89.00%**

Performance Measure: 1.5.c **(Weight = 3%)**

A documented design review program shall be in place to ensure all designs for new construction and modification projects are reviewed and approved by SLAC's Fire Protection Engineer in a timely manner with adequate records and documentation.

Performance Gradient:

Outstanding:	> 95% of designs reviewed.
Excellent:	90-95% of designs reviewed.
Good:	80-89% of designs reviewed.
Marginal:	70-79% of designs reviewed.
Unsatisfactory:	<70% of designs reviewed.

Performance Narrative:

The SLAC fire marshal completed 100% of the submitted plan reviews and consultations.

Performance Rating (Adjectival): **Outstanding** **100%**

Performance Measure: 1.5.d **(Weight = 3%)**

SLAC shall inspect, test and maintain its fire protection system in accordance with the SLAC Fire Protection Maintenance Testing and Inspection schedules and procedures. Track and trend on the SLAC maintenance system.

Performance Gradient:

Outstanding:	> 95%
Excellent:	90-95%
Good:	80-89%
Marginal:	70-79%
Unsatisfactory:	<70%

Performance Narrative:

The SLAC fire protection maintenance group has completed 93% of the required maintenance and testing of the fire protection equipment.

Performance Rating (Adjectival): **Excellent** **87.00%**

Performance Objective: # 2

SLAC will perform its work in a manner that does not present a threat of harm to the public or the environment and will identify, control, and respond to environmental hazards.

(Total Weight = 14%)

Performance Criteria: 2.1

Exposures to members of the public to ionizing radiation and radiological emissions to the environment will be adequately controlled.

Performance Measure: 2.1.a (Weight = 7%)

Public ionizing radiation exposure monitoring and calculations are accomplished to assure that the dose to the maximally exposed individual in the public from DOE operations will be controlled and will not exceed Federal limits. Radiological emissions to the environment are monitored or calculated and controlled so that applicable limits are not exceeded.

Performance Assumptions:

1. Any actual or anticipated change in workload (interpreted to be an increase or decrease of 1.0 mrem/year or more) during the period for which the dose is calculated will be brought to the attention of DOE and appropriate adjustments in the performance will be made.
2. For FY 2002, the performance period is January 1, 2001 to December 31, 2001; i.e. calendar year 2001 (CY01).
3. Radiological emissions included in this measure are airborne emissions (the dose as reported in the annual NESHAPs report) and sanitary sewer discharges (as reported to the South Bayside Systems Authority).

Performance Gradient

Outstanding:

The total effective dose equivalent (TEDE) for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is less than or equal to 5 mrem/yr. Radiological emissions to the environment are less than or equal to 5% of applicable regulatory

limits.

Excellent:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 5 mrem/yr to less than or equal to 7.5 mrem/yr. Radiological emissions to the environment are greater than 5% to less than or equal to 7.5% of applicable regulatory limits.

Good:

The TEDE for the maximumly exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 7.5 mrem/yr to less than or equal to 10 mrem/yr. Radiological emissions to the environment are greater than 7.5% to less than or equal to 10% of applicable regulatory limits.

Marginal:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 10 mrem/yr to less than or equal to 15 mrem/yr. Radiological emissions to the environment are greater than 10% to less than or equal to 15% of applicable regulatory limits.

Unsatisfactory:

The TEDE for the maximally exposed member of the public exposed to ionizing radiation from SLAC produced pathways is greater than 15 mrem/yr. Radiological emissions to the environment are greater than 15% of applicable regulatory limits.

Performance Narrative:

The gradient for this measure evaluates two areas: 1) radiation dose (total effective dose equivalent (TEDE)) for the maximally exposed member of the public, and 2) radiological emissions to the environment as compared to applicable regulatory limits.

Radiation Dose

The SLAC contribution to public dose is measured and reported annually in the Annual Site Environmental Report and is well below Federal limits. During calendar year 2001, the cumulative dose that a maximally exposed hypothetical neighbor could receive from SLAC operations was estimated to be 5.3 mrem (0.053 mSv). The majority of the dose is from direct radiation. This is a slight decrease from 5.7 mrem in 2000, and is attributable to changes in work operations. Although the dose remains less than the 10 mrem level requiring reporting to DOE Headquarters in accordance with DOE Order 5400.5, it remains above the range (less than or equal to 5 mrem) for an Outstanding rating under the gradient. Thus the corresponding rating for FY02 for the radiation dose portion of the measure is Excellent.

Radiological Emissions

Air Emissions: Using conservative calculations, SLAC airborne emissions in 2001 were reported to be an estimated 33 curies. Using computer code CAP88-PC, the resulting dose to the Maximally Exposed Individual (located near the Sand Hill Road entrance) from this 33 curies is about 0.08 mrem/year. This dose is less than 1% of the allowable EPA annual limit of 10 mrem/year.

Sanitary Sewer: Currently, the only measurable radioactive materials discharged to the sanitary sewer at SLAC are small quantities of tritium present in low conductivity water (LCW). Tritium can not be removed from water. SLAC has sampled and analyzed all batches of LCW prior to discharge since 1993. During 2001, the total quantity of tritium discharged to the sanitary sewer was approximately 2.1 mCi. This discharge is approximately 0.04% of the annual discharge limit of 5 Curies, and continued a trend of decreasing discharges over the last several years.

Both of these emission sources were well under 5% of applicable regulatory limits, therefore an Outstanding rating applies under the Performance Gradient for this portion of the measure.

The overall rating for 2.1b is "Excellent" with a percentage score of 88. A corresponding percentage rating in the upper portion of the "Excellent" category is warranted due to the emissions portion of the measure being categorized as Outstanding, and due to the ongoing efforts to minimize radiation emissions from future projects undergoing design and construction, and due to the stable or decreasing trend in radiation dose and emissions. It should be noted that for FY03, SLAC and DOE have jointly agreed to eliminate this measure due to the limited value of it's effect on operational programs. Environmental radiological programs will continue to be monitored through DOE operational awareness activities.

Performance Rating (Adjectival): **Excellent**	**88.00%**

Performance Criteria: 2.2

Environmental violations and releases will be adequately controlled.

Performance Measure: 2.2.a (Weight = 7%)

Environmental incidents will be tracked and measured. These will include: 1) Formal violations, noted by regulatory inspections, regulatory reports or non-compliance with agreements made with regulatory agencies; 2) Spills which exceed established local, state, or federal reporting requirements; and 3) Releases which exceed regulatory permit limits.

Performance Assumptions:

1. Performance period for this measure is October 1, 2001 to September 30, 2002.
2. Environmental releases that remain within compliance limits or do not require reporting will not be counted. Environmental releases resulting from natural causes (earthquake, flooding, etc.) for which no preventable action could be taken, shall not be counted.
3. A weighting factor from 0.25 to 1 will be applied to all counted incidents SLAC and DOE technical counterparts will jointly determine weighting factors for incidents.

   Weighting factors are generally defined to be:

   - 1.0 Serious non-compliance: Incident poses serious harm to the public or environment.
   - 0.75 Significant non-compliance: Programmatic non-compliance with regulatory requirements or a release resulting in the issuance of a NOV, or repeated moderate non-compliance ("repeated" is defined as more than two over a three-year period).
   - 0.50 Moderate non-compliance incident that is isolated, but requires a legally reportable release of contamination (but no NOV is issued), or a repeated minor non-compliance.
   - 0.25 Minor non-compliance: An incident that is isolated, primarily administrative, and causes no potential unrecovered release of contamination.
4. If NOVs or equivalent notices contain more than one distinct compliance violation, each separate violation will be first weighted under the above scale. Then an overall score for the incident will be determined by joint DOE/SLAC agreement after considering the individual violations. The overall score for a NOV with multiple violations will be equal to or greater than the highest scored individual violation, but will not exceed a value of 1.
5. The weighted scores of all incidents during the performance period will be added to determine the "total score" to be used in the gradients defined below.
6. Increases in incidents will be based on comparison to a three-year average. The "three-year" average will begin after three years of data are collected (FY00 - FY02). Thereafter, the lowest average from a three-consecutive-year period will be used.

7. Unexpected work/regulatory activity increases that may occur during the year will be brought to the attention of DOE and will be considered during the evaluation period.

Performance Gradient:

Outstanding:	A total score of less than 1, and no individual incident has a weighted score of 0.75.
Excellent:	A total score of 1 to 1.75, with no more than 1 individual incident having a weighted score of 0.75.
Good:	A total score of 2 to 2.75, with no more than 2 individual incidents having a weighted score of 0.75.
Marginal:	A total score of 3 to 3.75, with no more than 3 individual incidents have a weighted score of 0.75, or any singular incident has a weighted score of 1.
Unsatisfactory:	A total score of 4 or more, or 2 or more individual incidents have a weighted score of 1.

Performance Narrative:

For the performance period of October 1, 2001 to September 30, 2002, there were no regulatory violations, but there were a total of two water/sewage spills that met criteria of incidents to be tracked under this measure. These spills, and the weighting factor agreed to by SLAC and DOE, are shown below.

Date	Material Spilled	Amount	Source	Weighting Factor
12/28/01	Cooling Tower Water	50,000 gallons	Ruptured Cooling Tower line	0.50 (repeated minor occurrence)
08/02/02	Sewage	38,000 gallons	Blocked sewer pipe	0.75 (repeated moderate occurrence)

Both of these occurrences met criteria for repeated incidents (two or more within a 3-year period). There were at least twenty-one additional minor spills which did not exceed compliance limits or require offsite notification of regulatory agencies, and thus did not meet the criteria of this measure. There were no other environmental incidents in FY02 that meet the criteria of this measure. All routine monitoring analysis were within permitted regulatory limits.

The FY01 rating is determined as follows:

Sum of the weighting factors: 1.25
Number of incidents having a weighted score of 0.75 or more: 1

This score is therefore within the "Excellent" range of the gradient for FY02. After consideration of SLAC's response to these incidents, as well as efforts to eliminate similar releases through such activities as an expanded sewer cleanout program and management attention to the matter, a rating within the upper portion of the "Excellent" category is justified. Accordingly, an appropriate rating for this measure for FY02 is "Excellent" with a percentage score of 87.

Performance Rating (Adjectival): **Excellent**	**87.00%**

Performance Objective: # 3

SLAC demonstrates sound stewardship of its site through safe and effective hazardous and radioactive waste minimization and management and through restoration of the site where degradation has occurred. **(Total Weight = 16%)**

Performance Criteria: 3.1

SLAC has a program in place to reduce both the amounts of waste generated and pollutant emissions. The program will reduce as much as is practical the volume of municipal solid waste and hazardous waste generated in accordance with SLAC's Waste Minimization Plan. In addition, as long as benefits exceed costs, SLAC will plan and perform its work in a manner that prevents pollution in to the environment.

Performance Measure: 3.1.a (Weight = 5%)

SLAC completes tasks identified in the Annual Performance Objective Plan. Progress continues towards meeting the DOE pollution prevention goals for the year 2005.

Performance Assumptions:

1. The performance period is October 1, 2001 through September 30, 2002.
2. DOE's pollution prevention goals (Department-wide) by waste type are defined as follows:
   - Reduce by 90% the generation of hazardous waste from routine operations by the year 2005;
   - Recycle 45% of non-hazardous waste from routine operations by the year 2005.
3. SLAC's contribution to the DOE goals stated above are:
   - Reduce generation of hazardous waste from routine operations by 90% by the year 2005, using 1993 as a baseline; and,
   - Recycle 45% of non-hazardous waste from routine operations by the year 2005.
4. The annual performance assessment will not be used solely on the achievement or lack thereof of the numerical goals. The performance rating will take into account the commitment and effectiveness of SLAC management toward achieving the numerical goals.
5. DOE and SLAC may negotiate mid-year adjustments to the SLAC waste reduction and recycling goals.
6. Waste quantities used to compute waste reduction or waste recycling performance exclude one-time or non-routine operations such as TSCA waste, remediation waste, waste from projects involving the upgrade of equipment, waste from significant emergency response actions, and construction and demolition waste.

7. Reduction, reuse, recycling and exchange are considered to be methods of waste minimization and will be tracked by the Waste Management Department to affirm reductions in hazardous waste generated.
8. The effect of the July 13, 2000 DOE moratorium on the release of surplus and scrap metals for recycling will be factored into determining the performance rating for this measure.

Performance Gradient:

Rating	RHW Goals Achieved Waste Reduction (%)	NHW Goals Achieved Recycling (%)
Outstanding:	>58	≥ 36
Excellent:	52 to 57	30 to 35
Good:	46 to 51	24 to 29
Marginal:	41 to 46	19to 23
Unsatisfactory:	≤ 40	≤ 18

Performance Narrative:

For the performance period October 1, 2001 to September 30, 2002, SLAC continued to make significant progress against the DOE pollution prevention goals for the year 2005 for both routinely-generated hazardous waste and non-hazardous waste. SLAC received an "Outstanding" rating for FY02 based on their achievement of the DOE quantitative waste reduction goals for hazardous and non-hazardous waste.

Routine hazardous waste was reduced by 67% and non-hazardous waste by 50% when compared to the 1993 baseline. These reductions exceeded the goals for the "Outstanding" performance rating by 11% and 14%, respectively.

In FY02, SLAC received the U.S. Environmental Protection Agency Champion of Green Government Award for the Solvent Replacement and Emissions Reduction project. The project included installation of a near zero emission vapor degreaser and resulted in a 99% reduction in solvent emissions from the SLAC Plating Shop. In FY02 the SLAC Purchasing Department also established a recycling program for toner cartridges.

SLAC continues maintain a robust program for recycling or diversion of waste (e.g., paper, cardboard, beverage cans and bottles) that would normally be disposed of at sanitary landfills.

Performance Rating (Adjectival): **Outstanding**	**98.00%**

Performance Criteria: 3.2

SLAC will manage hazardous and radioactive wastes in a manner that meets regulatory requirements and is cost effective.

Performance Measure: 3.2.a **(Weight = 3%)**

Hazardous waste generated will be managed in compliance with applicable regulations of CCR, Title 22, Division 4.5, applicable parts.

Performance Gradient:

Outstanding:

No Class 1 or equivalent violations of hazardous waste regulations; demonstrated and documented efforts/accomplishments to improve program effectiveness/efficiency.

Excellent:

No Class 1 or Class II or equivalent violations of hazardous waste r regulations.

Good:

No Class 1 or equivalent violations and not more than one Class II or equivalent violations of hazardous waste regulations.

Marginal:

Any Class 1 or equivalent violation or more than one Class II or equivalent violations of hazardous waste regulations.

Unsatisfactory:

Any Class 1 or equivalent violation and one or more Class II or equivalent violations.

Performance Assumption:

1. Violations that do not pose a threat to human health or the environment may not be measured. Violations that pose a threat human health or the environment may be measured. As examples, any violation that does not pose a threat will not

result in a reduction of performance if the overall program is successful in meeting other compliance elements. Any violation that does pose a threat, or where other program elements are unsuccessful in meeting other compliance elements, may affect the performance level.

2. Data used for assessing regulatory compliance will be gathered from inspection reports pertinent to environmental waste regulations. These may include self-assessments, regulatory agency inspections, operational awareness activities, et cetera.
3. The assessment of the cost effectiveness of budget expenditures will be based on the mutually agreed upon baseline for the hazardous waste and low level waste programs and any identified cost savings.
4. Cost savings resulting from the implementation of cost-effective waste programs may be applied towards waste liabilities and other SC program activities at the site.
5. Class 1 and Class II violations are defined in the DTSC Official Policy/Procedure #EO-95-004-PP, dated August 16, 1995.
6. Violations similar to Class I and Class II violations found during SLAC internal audits or DOE operational awareness walk throughs will be considered "equivalent" to Class I violations for the Outstanding gradient of Measure 3.2a.

Performance Narrative:

For the performance period of October 1, 2001 to September 30, 2002, there were no documented Class 1 or equivalent violations of hazardous waste regulations for the activities conducted at the Centralized Hazardous Waste Management Area. Documentation of program performance during the reporting period by the local regulatory agency, SLAC internal audit performed by a subcontractor and DOE Integrated Safety Management (ISM) review and routine operational awareness confirmed that the program performed at an outstanding level.

The DOE ISM review of hazardous materials and waste program concluded that SLAC met all seven criteria for non-radiological hazardous waste and hazardous materials management.

SLAC also established a new Hazardous Waste Training program. The training program was designed in consultation with SLAC Division Coordinators, supervisors and employees and delivers employee-specific information about how to manage hazardous wastes.

Performance Rating (Adjectival): **Outstanding**	**95.00%**

Performance Measure: 3.2.b **(Weight = 3%)**

Low level waste generated will be managed in compliance with applicable DOE Orders and regulatory requirements and the budget expended cost effectively.

Performance Gradient:

Outstanding:

Compliance with applicable orders and regulations (No documented Level I, II, or III observations of non-compliance) demonstrated and documented efforts/accomplishments to improve program effectiveness and efficiency.

Excellent:

Compliance with applicable orders, regulations (No documented Level I, II, or III observations of non-compliance).

Good:

Any documented Level III observations of non-compliance.

Marginal:

Any documented Level II observations of non-compliance.

Unsatisfactory:

Any documented Level I observations of non-compliance.

Assessment of levels of non-compliance is based on observations/findings by DOE, external regulators, or through SLAC internal, independent assessments.

Performance Assumption:

1. Definition of Non-Compliance Levels.

   Level I: Observation of non-compliance perceived to be an imminent danger or significant safety hazard to workers or the public, or poses a significant threat to the environment.

   Level II: Observation of non-compliance that indicates that management system(s) are not in control.

   Level III: Observation of non-compliance that is or perceived to be in violation of DOE Orders, or other applicable regulations, but can be demonstrated that management system(s) is in control.

Assessment of levels of non-compliance is based on observations/findings by DOE, external regulators, or through SLAC internal, independent assessment.

Performance Narrative:

For the performance period October 1, 2001 to September 30, 2002, no observations of Level I, II or III non-compliances were documented by DOE. Documentation of program performance through routine DOE operational awareness activities and a SLAC internal audit performed in FY02 confirmed that the low-level waste program is being implemented at an "Outstanding" level. SLAC continues to receive, package and ship low-level radioactive waste and low-level mixed waste from SLAC generators to the DOE Hanford site and commercial treatment and disposal facilities in compliance with DOE directives and external regulatory agency requirements. SLAC has maintained compliance with the RCRA regulatory requirement to ship all mixed waste off-site for treatment and disposal within 90 days of generation.

SLAC successfully identified, characterized and packaged approximately 1,000 cubic feet of legacy radioactive waste in FY02 for disposal in FY03. This waste includes bulky components, wastes not easily characterized and items stored on-site that are no longer needed.

Performance Rating (Adjectival): **Outstanding**	**95.00%**

Performance Criteria: 3.3

SLAC will maintain the scheduled rate of progress toward completion of the Remedial Investigation/ Feasibility Study and source mitigation activities designed to achieve a level of restoration acceptable to cognizant regulatory agencies as specified in the Multi-Year Work Plan and Project Baseline.

Performance Measure: 3.3.a **(Weight = 5%)**

Performance will be determined based on points earned in three categories. The successful completion of selected major tasks/milestones in the Environmental Restoration Program Current Year Work Plan, the efficient management of the budget, and project management effectiveness will be evaluated and awarded points. There will be a maximum of 60 points possible.

Task Completion Points (40 max)

By November 30, 2001, SLAC and DOE will agree on the tasks to be performed and the number of points to be awarded for each. As conditions change throughout the year, DOE and SLAC may agree on task substitution. Forty (40) points will be the maximum amount credited in this category even though total task points available may be more than 40. Five points will be awarded for the completion of each task. Tasks must be fully completed within the performance period to received points (i.e., no partial credit).

Budget Points (10 max)

The budget shall be managed to take advantage of the fiscal year funds available to maximize the amount of work performed in the current performance/fiscal year (i.e., funds available from completing tasks under budget should be used to accelerate work planned in future years). The point increments are based on managing funds to keep the year-end carryover to 8% or less, consistent with EM HQ guidance.

Percent of budget spent	Points	Percent of budget spent	Points
92% or Greater	10	87%	5
91%	9	86%	4
90%	8	85%	3
89%	7	84%	2
88%	6	83%	1

Project Management Effectiveness Points (10 max):

Quality, earned value, responsiveness, innovation, and flexibility factors will be used to evaluate project management effectiveness. This item will be more subjective than the other two categories and there is no intention to distribute the available points evenly among the identified factors. Typical indicators of the effectiveness are:

- Post project evaluations for cost and quality
- Nature of stakeholder, regulator, DOE, etc. comments on environmental restoration projects/documents and resolution to the comments
- Compliance to project documents
- Recommendations and development of solutions to problems or obstacles
- Regulator issued fine, penalties, notice of violations, etc.

Performance Gradient

Outstanding:
54 or greater points earned.

Excellent:
45 to 53 points earned

Good:
36 to 44 points earned

Marginal:
The budget has been overspent or 28 to 35 points earned.

Unsatisfactory:
The budget has been overspent and <28 points earned.

Performance Narrative:

Task Completion (40 points earned)

SLAC has completed the following eight tasks listed in the January 15, 2002 agreement:

Project	Tasks	Points
Sub 505, 512 & CID	Complete removal action, including submittal of post field work report to the regulators	5
Sub 512	Management commitment item for Sub 512 completion	5
TL/CL	Revise RI report and receive regulator approval	5
TL/CL	Prepare FS report and submit to regulator	5
TL/CL	Management commitment item for TL/CL FS report	5

FSUST	Revise RI/FS reports and receive regulator approval	5
PSAs	Complete site assessments for 8 of 9 sites scheduled for FY02 (including appropriate documentation)	5
FHWSA	Complete Pilot Study, including report (3)	5
	Total points	40

Based on this SLAC is awarded the maximum of forty points for this category.

Budget (10 point earned)

The budget was effectively managed to take advantage of the funds available as 96% of the budget was spent or committed for subcontractor work. The vast majority of outstanding commitments were for work in progress that spanned FY02 and FY03. There was only $109K of uncommitted carryover out of the $2604K funds authorized for FY02. Therefore, the maximum of 10 points was earned for this element.

Project Management Effectiveness

Overall, SLAC continues to manage the project effectively. The following observations are the basis for this evaluation.

- A post project evaluation was conducted following the completion of CID, 505 and 512 removal actions. The evaluation confirmed that the project was well managed however, future projects will include in there technical specifications unit cost for additional material if field conditions lead to excavation greater than originally estimated.
- There were no identified incidents of non-compliance to project documents. There were no regulator issued fines, penalties, or notices of violation.
- SLAC was proactive in developing improvements in several areas. Response to the RWQCB inability to exempt groundwater as a drinking source by devising a strategy for remedial action objectives that allowed a path forward acceptable to all stakeholders.
- SLAC also developed a map with geologic and hydrogeologic data collected and complied at SLAC to explain that SLAC is not a high priority groundwater zone, which will be integrated into the San Mateo Groundwater Basin document being prepared by the RWQCB for future technical and policy decisions by the RWQCB.

Eight out of ten points have been earned for this element.

Overall, 58 points were earned for this performance measure so a rating of "Outstanding" has been achieved.

Performance Rating (Adjectival): **Outstanding**	**98.00%**

Performance Objective 4.0

SLAC effectively integrates ISM into all management and work practices at institutional, site, and activity levels so that missions are accomplished while protecting the worker, the public and the environment. **(Total Weight = 36%)**

Performance Criteria: 4.1

SLAC systematically integrates the seven Integrated Safety Management System (ISMS) Guiding Principles (GP) and five Core Functions into all management system and work practices at the institutional, site, and activity levels.

Performance Measure: 4.1a **(Weight = 36%)**

SLAC effectively implement Integrated Safety Management in its management systems and work practices at the institutional, site, and activity levels.

The DOE Annual Review process for demonstrating accomplishment of the performance objective will be used on a jointly conducted review by DOE and SLAC of contractor management systems or work elements falling into the following categories: 1) research projects and associated support operations 2) infrastructure projects and associated support operations and activities and 3) other routine support operations and maintenance activities. DOE and SLAC will identify for review each quarter one activity from the three categories identified above

The activity identified by DOE and SLAC will be subject to review by a team composed of no less than two representatives each from DOE and SLAC. At a minimum, the review team will include a representative from the Stanford Site Office (SSO), an OAK subject matter expert as needed, a representative from the SLAC ES&H Division and a cognizant SLAC line manager. Other DOE or SLAC subject matter experts or line organization representative may be also included on the review team to provide technical support if appropriate based on the scope and complexity of the reviews. Review team members are expected to have demonstrated knowledge about ISM.

Although the Annual Review Process will be conducted jointly, the results of the quarterly review will be used by DOE to independently document completion of the DOE Annual Review requirement for determining the overall effectiveness of ISMS implementation at SLAC. SLAC may also choose to independently use the data generated from the quarterly review for the SLAC annual self-assessment report on SLAC's performance against the measure.

The scope of the Annual Review may include, but is not limited to, review of site policies and procedures and their implementation, interviews of line mangers, workers and subcontractors, data generated from SLAC's internal tracking systems and other documented work process products.

A number of other factors may be considered to determine the extent of success against the measure gradient independent of the specific quarterly review process. This includes results of program/project reviews, SLAC self-assessment (including results of internal independent assessments), ongoing DOE Operational Awareness activities conducted throughout the year, For Cause Reviews by DOE and any external reviews.

The intent of this performance measure is to evaluate how effectively the ISMS guiding principles and core functions are integrated into management systems and work practices at the institutional, site and activity levels; and to determine to what extent SLAC is fostering continuous improvement in ISM implementation through integration of the guiding principles and core functions in line organization activities, implementation of line organization of an effective lessons learned program, development of safety performance objectives and key ISM performance indicators and implementation of appropriate corrective actions. The degree of success in meeting the process measure gradients will be based on the collective results of the DOE and SLAC reviews conducted during the DOE fiscal year.

The review will consider the following when documenting the site's performance against the measure:

- Vertical and horizontal integration of safety management systems.
- Flow down of ISM requirements in SLAC contracts and other site documentation.
- Implementation of line organization self-assessments.
- Processes are in place that ensures feedback and continuous improvement.
- Establishment and tracking/trending of key safety indicators and metrics.

Performance Assumptions:

1. Rating period is October 1, 2001 to September 30, 2002.
2. DOE and SLAC will meet during the annual ES&H performance assessment process to discuss the evaluations from each of the ISM quarterly reviews and assign an overall performance rating for this performance measure.
3. SLAC will independently incorporate the results from the ISM quarterly reviews into the Laboratory's annual self-assessment report on all performance measures.
4. The final overall rating for this measure will be based on the aggregate results from the quarterly ISM reviews, program/project reviews, SLAC self-assessments, ongoing DOE Operational Awareness activities, For Cause Reviews by DOE and any external reviews.

Performance Gradient:

The Gradients will be based on an assessment of the effectiveness of performance against the seven elements described in Section 5 of the SLAC Safety Management System (SLAC-I-720-OA00B-001). These elements are implementation of ISMS:

1. Guiding Principles 1 and 2;
2. Guiding Principle 3;
3. Guiding Principle 4 and Core Function 1;
4. Guiding Principle 5;
5. Guiding Principle 6 and Core Functions 2 and 3;
6. Guiding Principle 7 and Core Function 4;
7. Core Function 5.

Each activity reviewed will be scored on its effectiveness in implementing each element (i.e. effective or not effective). Each activity will then be given a gradient evaluation according to the following:

Outstanding:	at least 6 of ISM 7 elements demonstrated to be effectively implemented
Excellent:	at least 5 of 7 ISM elements demonstrated to be effectively implemented
Good:	at least 4 of 7 elements demonstrated to be effectively implemented.
Marginal:	at least 3 of 7 elements demonstrated to be effectively implemented.
Unsatisfactory:	<3 of 7 ISM elements demonstrated to be effectively implemented.

The final overall rating for this performance measure will be determined as the average of the ratings of each individual activity assessed.

Performance Narrative:

DOE completed two Integrated Safety Management (ISM) reviews in FY02. One review evaluated site-wide hazardous waste and hazardous materials management practices and the second review covered test stand operations at the Klystron Test Lab. The DOE assessment of hazardous waste and hazardous materials management concluded that all seven ISM elements were met resulting in an "Outstanding" rating. The assessment of the Klystron Test Lab test stand operations concluded that four of the seven ISM elements were fully met, resulting in a "Good" rating. All opportunities for improvement that were identified during the review have been completed except for documentation of on-the-job-training.

In FY02, SLAC initiated and implemented the development of a SLAC line organization and ES&H Division self-assessment program that included identification and tracking of key leading (e.g., completed training, medical testing, building evacuations) and lagging (e.g., total recordable cases, lost workdays, environmental releases, ORPS) ES&H performance indicators. SLAC developed and implemented substantial changes to the SLAC Quarterly Report on ES&H that incorporates these leading and lagging performance indicators. The goals of the new report include consolidating ES&H performance information into a single document and providing the status of important leading and lagging ES&H performance indicators to DOE and SLAC senior management. The quarterly report now includes report summaries for both site-wide ES&H performance and the SLAC ES&H Division

performance. The SSO concurs that this focus on performance of the line organizations will provide a more accurate overall assessment of the health of ISM implementation at SLAC from a site-wide perspective.

In FY02, SLAC also substantially completed implementation of the opportunities for improvement resulting from subcontractor management issues identified by DOE in a stop activity initiated by the SSO in FY01. As a result of SLAC's strong efforts to respond to DOE concerns in this area, a SLAC committee was formed to identify specific changes in current practices to improve the Laboratory's oversight of subcontractor activities. As a result, SLAC significantly enhanced their subcontractor management program in the following areas: documentation of ES&H policy on construction management; revision of quality assurance, compliance design assurance and construction inspection procedures; evaluation of subcontractor safety performance; revision of SLAC Purchasing Department terms and conditions including flow down to sub-tier contractors; revision of checklists and pre-work hazard analysis; assignment of ES&H professionals to SLAC projects; policy on required construction documents and documentation of joint subcontractor inspections. The SSO concurs that implementation of these enhancements by SLAC will significantly strengthen the overall subcontractor management program and will reduce the probability and severity of accidents and injuries.

The SLAC Total Recordable Case rate (near 1.0) has been decreasing since 1996 and is currently the lowest among the Office of Science Laboratories.

Performance Rating (Adjectival): **Outstanding**	**97.00%**

APPENDIX A

ASSESSMENT REPORT METHODOLOGY

Section C – ASSESSMENT and APPRAISAL PROCESS

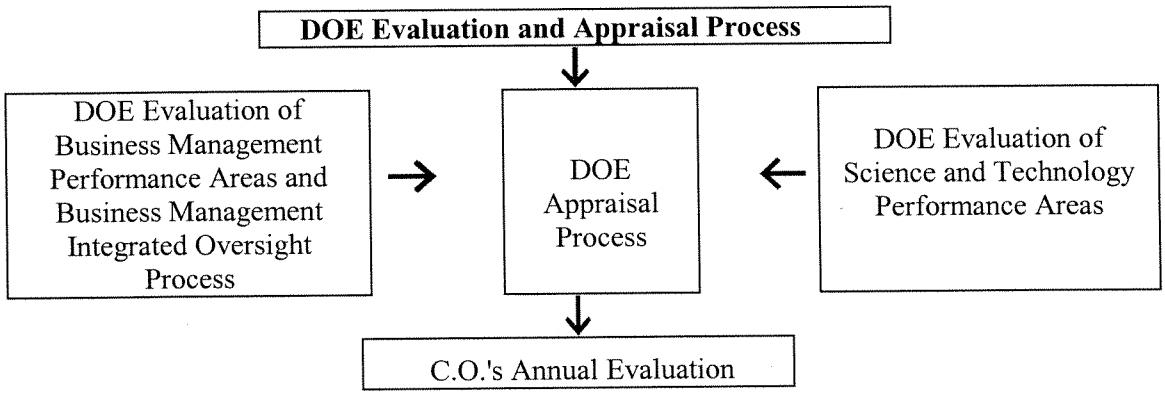
Part I – ASSESSMENT

SLAC Self-Assessment

Annually SLAC will perform a comprehensive Peer Review process of the Science and Technology programs in each Performance Area in accordance with the Performance Objectives, Criteria, and Measures listed in Section A of this appendix. In addition, the SLAC Management team will annually evaluate Business Management in each Performance Area based on the established Performance Objectives, Criteria, Measures, Assumptions, and Gradients listed in Section B of this appendix. The result of these evaluations will be combined and reported to DOE in a Self-Assessment Report.

DOE Evaluation

The DOE will annually evaluate Science and Technology and Business Management in each Performance Area. The evaluation will be based upon input from the Business Management Integrated Oversight Process and appraisal of each Performance Area in accordance with the Performance Objectives, Criteria, Measures, Assumptions, and Gradients listed in Section A and B of this appendix. Annually, the Contracting Officer shall provide to the Contractor a written assessment of SLAC's performance based upon the DOE evaluation of Science and Technology and Business Management and the Contracting Officer's evaluation of SLAC's self-assessment.



Part II – EVALUATION PROCESS

SLAC and the DOE will independently perform the following evaluation process.

The total points available for Science and Technology is 600 while the total points available for Business Management is 400. Points assigned to each Performance Area are established by the parties at the beginning of each annual evaluation cycle. Any modification of points assigned to individual Performance Areas at the beginning of the annual evaluation will continue to cause the total points available for Science and Technology and the total points available for Business Management to remain unchanged. The following table shows the Performance Areas in

Business Management and Science and Technology along with their associated point assignments.

Business Management		Science and Technology	
Environment, Safety & Health	110 pts	High Energy Physics	500 pts
Equal Opportunity and Affirmative Action	15 pts	Synchrotron Radiation	100 pts
Financial Management	55 pts		
Information Management Program	30 pts		
Communication and Public Affairs	10 pts		
Personal Property	30 pts		
Human Resource Management	35 pts		
Procurement	25 pts		
Projects and Facilities Management	60 pts		
Safeguards and Security	20 pts		
Technology and Intellectual Property	10 pts		
Total = 400 Points		Total = 600 Points	

The Performance Area evaluation begins by assigning ratings to the Performance Objectives. The Performance Objective ratings are expressed as percentages and reflect the Evaluation Rating on that objective. The ratings are developed in Business Management by assessing the Performance Objectives using the Performance Assumptions and Gradients. In Science and Technology the ratings represent a subjective assessment of the Performance Objectives. The following table relates these elements.

Performance Objective Ratings	Evaluation Rating	Business Management	Science and Technology
90 – 100%	Outstanding	Use assumptions and gradients to determine rating.	Rating is determined by subjective assessment of Performance Measure.
80 – 89%	Excellent		
70 – 79%	Good		
60 – 69%	Marginal		
Less than 60%	Unsatisfactory		

Once the Performance Objective Ratings have been determined, they are multiplied by the percent weight assigned to each weighted Performance Measure. This gives the weighted percentage rating for each Performance Measure. The sum of the weighted percentage ratings yields the total percentage rating for the Performance Areas. The sum percentage ratings multiplied by the points available for the Performance Areas determine the points earned for each area. The sum of the points earned for each area establishes the total points earned for Science and Technology and for Business Management and, ultimately, for total SLAC. The total points

earned can then be correlated with a comprehensive Evaluation Rating for SLAC through the following table.

Correlation of Total Points Earned to Evaluation Ratings and Definition of Evaluation Ratings

Total Points Earned	Evaluation Ratings	Definition
900 - 1000	Outstanding	Significantly exceeds the standard of performance; achieves noteworthy results; accomplishes very difficult tasks in a timely manner.
800 - 899	Excellent	Exceeds the standard of performance; although there may be room for improvement in some elements, better performance in all other elements offset this.
700 - 799	Good	Meets the standard of performance; assigned tasks are carried out in an acceptable manner - timely, efficiently, and economically. Deficiencies do not substantively affect performance.
600 - 699	Marginal	Below the standard of performance; deficiencies are such that management attention and corrective action are required.
Less than 600	Unsatisfactory	Significantly below the standard of performance; deficiencies are serious, may affect overall results, and urgently require senior management attention. Prompt corrective action is required.

Part III – EXAMPLE OF RATING PROCESS

For example purposes, assume the following:

- Science and Technology and Business Management each consist of two Performance Areas;
- the first Performance Area has three Performance Measures while the second has two;
- the first Performance Area in Science and Technology has been assigned 500 points and the second 100 points;
- the first Performance Area in Business Management has been assigned 250 points and the second 150 points;
- the Performance Measure scores and percent weights are given.

POCM Rating Calculation

	PM Rating	% Earned Weight	% Rating	Available Points	Points
Science and Technology					
Performance Area "A"					
Performance Measure 1	90%	15%	13.5%		
Performance Measure 2	85%	40%	34.0%		
Performance Measure 3	92%	45%	41.4%		
			88.9%	500	444.5
Performance Area "B"					
Performance Measure 1	95%	45%	42.8%		
Performance Measure 2	88%	55%	48.4%		
			91.2%	100	91.2
Science and Technology Total Earned Points					535.7
Business Management					
Performance Area "C"					
Performance Measure 1	95%	20%	19.0%		
Performance Measure 2	88%	55%	48.4%		
Performance Measure 3	92%	25%	23.0%		
			90.4%	250	226.0
Performance Area "D"					
Performance Measure 1	98%	60%	58.8%		
Performance Measure 2	94%	40%	37.6%		
			96.4%	150	144.6
Business Mgt Total Earned Points					370.6
Total Earned Points					**906.3**

Evaluation Rating = Outstanding

APPENDIX B

OVERALL SCORE SUMMARY

SCIENCE & TECHNOLOGY
AND
BUSINESS MANAGEMENT

B. SCORE SUMMARY
Stanford Linear Accelerator Center

FUNCTIONAL AREA	POINTS POSSIBLE	SCORE	PERCENT	ADJECTIVE
SCIENCE AND TECHNOLOGY				
High Energy Physics	500.0	489.8	97.96%	Outstanding
Synchrotron Radiation	100.0	97.4	97.38%	Outstanding
SCIENCE AND TECHNOLOGY TOTAL	600.0	587.2	97.86%	Outstanding
BUSINESS MANAGEMENT				
Equal Opportunity and Affirmative Action	15.0	13.2	88.00%	Excellent
Personnel Management	35.0	32.5	92.77%	Outstanding
Financial Management	55.0	51.1	92.93%	Outstanding
Communications & Public Affairs	10.0	8.4	83.60%	Excellent
Personal Property	30.0	28.9	96.40%	Outstanding
Procurement	25.0	22.6	90.48%	Outstanding
Projects/Facilities Management	60.0	52.8	87.93%	Excellent
Information Management	30.0	26.7	88.00%	Excellent
Safeguards and Security	20.0	16.5	82.65%	Excellent
Technology and Intellectual Property Management	10.0	9.1	91.25%	Outstanding
Environment Safety and Health	110.0	104.6	95.05%	Outstanding
BUSINESS MANAGEMENT TOTAL	400.0	366.4	91.61%	Outstanding
TOTAL OVERALL LABORATORY SCORE	1000.0	953.6	95.36%	Outstanding

APPENDIX C

SCIENCE & TECHNOLOGY SCORES

FY Sheet

Appendix C - SCORE SUMMARY
Stanford Linear Accelerator Center

FUNCTIONAL AREA	WEIGHT	SCORE	PERCENT
SCIENCE AND TECHNOLOGY	**600.0**	**586.94**	**97.8%**
A HIGH ENERGY PHYSICIS	**500.0**		
PERFORMANCE OBJECTIVE #1 Scientific Research & Tech. Developmt. Programs (WEIGHT = 100%)			
1.1 Quality of fundamental and applies science (weight = 40%)			
1.1.a SLAC will be recognized as a world-class research	200.0	196.0	98.0%
1.2 Relevance to DOE missions or national needs (weight = 24%)			
1.2.a SLAC will contribute to U.S. Leadership in international High Energy Physics	120.0	116.40	97.0%
1.3 Effective and efficient research program management (weight = 20%)			
1.3.a SLAC will provide well developed research plans; optimal use of personnel facilities &	100.0	98.0	98.0%
1.4 Success in construction and operation of facilities (weight = 16%)			
1.4.a SLAC will construct and operate in a reliable safe and enviromentally sound manner	80.0	79.2	99.0%
B SYNCHROTRON RADIATION	**100.0**		
PERFORMANCE OBJECTIVE #1 Scientific Research & Tech. Developmt. Programs (WEIGHT = 100%)			
1.1 Quality of fundamental and applied science (weight = 30%)			
1.1.a SLAC will be recognized as a world-class research	30.0	28.86	96.2%
1.2 Relevance to DOE missions or national needs (weight = 20%)			
1.2.a SLAC will contribute to U.S. Leadership in international Basic Energy & Biological	20.0	19.1	95.3%

Appendix C - SCORE SUMMARY
Stanford Linear Accelerator Center

FUNCTIONAL AREA		WEIGHT	SCORE	PERCENT
1.3	**Effective and efficient research program management (weight = 20%)**			
1.3.a	SLAC will provide well developed research plans; optimal use of personnel facilities &	20.0	19.42	97.1%
1.4	**Success in construction and operation of facilities (weight = 30%)**			
1.4.a	SLAC will construct and operate in a reliable safe and enviromentally sound manner	30.00	30.00	100.0%

APPENDIX D

BUSINESS MANAGEMENT SCORES

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION	**15.0**	**13.2**	**88.00%**
PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)			
1.1 Program Development and Maintenance (weight = 100%)			
1.1.a Compliance Standing and Operational Awareness	15.0	13.2	88.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHTS	SCORE	PERCENT
HUMAN RESOURCE MANAGEMENT	**35.0**	**32.5**	**92.77%**
PERFORMANCE OBJECTIVE #1 Customer Needs (WEIGHT = 32%)			
1.1 Requirements, expectations and preferences of customers (weight = 32%)			
1.1.a Action Plans to improve those areas that do not meet customer expectations	11.0	10.5	95.00%
PERFORMANCE OBJECTIVE #2 HR Systems & Processes (WEIGHT = 34%)			
2.1 Human Resource systems and processes will optimize… (weight = 34%)			
2.1.a The laboratory will evaluate HR systems and processes for improvements	12.0	11.4	95.00%
PERFORMANCE OBJECTIVE #3 Total Compensation (WEIGHT = 34%)			
3.1 Competitiveness of its tangible and intangible elements (weight = 17%)			
3.1.a Compare the total compensation for its benchmark positions	6.0	5.5	92.00%
3.2 Attraction and Recruitment methodologies (weight = 17%)			
3.2.a Utilize methodologies specifically designed to attract and recruit candidates	6.0	5.1	85.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE			WEIGHTS	SCORE	PERCENT
FINANCIAL MANAGEMENT			**55.0**	**51.1**	**92.93%**
PERFORMANCE OBJECTIVE #1	**Financial Stewardship**	**(WEIGHT = 8%)**			
GOAL #1					
1.1	**Accounts receivable**	**(weight = 4%)**			
1.1.a	Reduce deliquent accounts receivable		2.0	2.0	100.00%
1.2	**Improvements to Accounting Proces**	**(weight = 4%)**			
1.2.a	Identifies areas needing improvements		2.0	2.0	100.00%
PERFORMANCE OBJECTIVE #2	**Financial Stewardship**	**(WEIGHT = 32%)**			
2.1	**Budgets are submitted timely**	**(weight = 9%)**			
2.1.a	Supportable budgets submissions meet due dates		5.0	4.5	89.00%
2.2	**Manage uncosted balances**	**(weight = 9%)**			
2.2.a	Reduce or maintain uncosted balances		5.0	4.5	90.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

	PERFORMANCE OBJECTIVE		WEIGHTS	SCORE	PERCENT
2.3	**Costs & Commitments of all prograı**	**(weight = 14%)**			
2.3.a	Costs & commitments are properly reported		8.0	8.0	100.00%
PERFORMANCE OBJECTIVE #3	**Financial Stewardship**	**(WEIGHT = 8%)**			
3.1	**Effective internal control & ensure timely…**				
3.1.a	Financial findings are prioritized	**(weight = 4%)**	2.0	1.6	79.00%
3.1.b	Controls are in place	**(weight = 4%)**	2.0	1.8	90.00%
PERFORMANCE OBJECTIVE #1	**Acctg. Data is Recorded**	**(Weight = 20%)**			
GOAL #2					
1.1	**Financial data is recorded**	**(weight = 9%)**			
1.1.a	accounting reports are provided by the due date		5.0	5.0	100.00%
1.2	**FY 2002 Financial Statements**	**(weight = 11%)**			
1.2.a	FY 2002 audited financial statements		6.0	6.0	100.00%
PERFORMANCE OBJECTIVE #2	**Construction Projects**	**(WEIGHT = 7%)**			
2.1	**Construction projects are capitalized**				
2.1.a	Construction Projects are capitalized	**(weight = 7%)**	4.0	4.0	100.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

	PERFORMANCE OBJECTIVE		WEIGHTS	SCORE	PERCENT
PERFORMANCE OBJECTIVE #3	**Effective & Efficient Indirect Cost Mgmt (WEIGHT = 25%)**				
3.1	**Manages Indirect Costs**				
3.1.a	1998 as a baseline; costs are efficiently	**(weight = 3%)**	2.0	1.6	79.00%
3.1.b	Policies, data, & reports consistent witl	**(weight = 13%)**	7.0	6.0	85.00%
3.1.c	Prepares & submits the Functional Support Cost Report (FCS)	**(weight = 9%)**	5.0	4.3	85.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
COMMUNICATION AND PUBLIC AFFAIRS		**10.0**	**8.4**	**83.60%**
PERFORMANCE OBJECTIVE #1	**(WEIGHT = 100%)**			
1.1 Information sharing, hosting public events, participation in events…				
1.1.a Various customer feedback methods	**(weight = 70%)**	7.0	5.8	83.00%
1.2.a Improve & Develop Effective Internal Processes	**(weight = 30%)**	3.0	2.6	85.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
PERSONAL PROPERTY		**30.0**	**28.92**	**96.4%**
PERFORMANCE OBJECTIVE #1	**Accountability of Personal Property**			
	(WEIGHT = 40%)			
1.1 Equipment Inventory	**(weight = 20%)**			
1.1.a Equipment Inventory Results		6.0	5.99	99.9%
1.2 Sensitive Property Inventory	**(weight = 20%)**			
1.2.a Sensitive Inventory Results		6.0	5.98	99.7%
PERFORMANCE OBJECTIVE #2	**Organizational Stewardship & Individual Custodianship**			
	(WEIGHT = 10%)			
2.1 Organizational Stewardship & Individual Custodianship	**(weight = 10%)**			
2.1.a Timeliness of Assignment		3.0	3.00	99.9%
PERFORMANCE OBJECTIVE #3	**Utilization of Property**			
	(WEIGHT = 10%)			
3.1 Vehicle Utilization Program	**(weight = 10%)**			
3.1.a Measure Vehicle Utilization		3.0	2.94	98.0%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
PERSONAL PROPERTY		**30.0**	**28.92**	**96.4%**
PERFORMANCE OBJECTIVE #1	**Accountability of Personal Property**			
	(WEIGHT = 40%)			
1.1 Equipment Inventory	**(weight = 20%)**			
1.1.a Equipment Inventory Results		6.0	5.99	99.9%
1.2 Sensitive Property Inventory	**(weight = 20%)**			
1.2.a Sensitive Inventory Results		6.0	5.98	99.7%
PERFORMANCE OBJECTIVE #2	**Organizational Stewardship & Individual Custodianship**			
	(WEIGHT = 10%)			
2.1 Organizational Stewardship & Individual Custodianship	**(weight = 10%)**			
2.1.a Timeliness of Assignment		3.0	3.00	99.9%
PERFORMANCE OBJECTIVE #3	**Utilization of Property**			
	(WEIGHT = 10%)			
3.1 Vehicle Utilization Program	**(weight = 10%)**			
3.1.a Measure Vehicle Utilization		3.0	2.94	98.0%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
PROCUREMENT	**25.0**	**22.6**	**90.48%**
PERFORMANCE OBJECTIVE #1 Customer Satisfaction (WEIGHT = 15%)			
1.1 Customer Focus (weight = 15%)			
1.1.a Customer Satisfaction Rating	4.0	3.8	95.00%
PERFORMANCE OBJECTIVE #2 Mgmt. Of Internal Bus. Process (WEIGHT = 55%)			
2.1 System Evaluation (weight = 25%)			
2.1.a Assessing System Operations	6.0	5.6	93.00%
2.2 Manage Suppliers (weight = 5%)			
2.2.a Measuring Supplier Performance	1.0	0.7	69.00%
2.3 Effective Utilization of Alternative Procurement Approaches (weight = 10%)			
2.3.a Traditional Purchasing Activities Transferred	1.0	0.9	88.00%
2.3.b Rapid Purchasing Activites Transferred	1.0	0.7	69.00%
2.4 Streamlined Processes (weight = 15%)			
2.4a Improvements to the Acquisition Processes	4.0	3.6	89.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
2.5	**Acquisition Process**			
2.5a	Average Cycle Time	Not Rated		
PERFORMANCE OBJECTIVE #3	**Managing Financial Aspects (WEIGHT = 10%)**			
3.1	**Process Cost (weight = 10%)**			
3.1a	Cost to Spend Ratio	3.0	2.6	87.00%
PERFORMANCE OBJECTIVE #4	**Learning and Growth (WEIGHT = 20%)**			
4.1	**Employee Feedback (weight = 5%)**			
4.1a	Employee Satisfaction Rating	1.0	1.0	96.00%
4.2	**Employee Alignment (weight = 5%)**			
4.2a	Validate Alignment of Goals	1.0	1.0	100.00%
4.3	**Information Availability (weight = 10%)**			
4.3a	Measuring Availability of Information	3.0	2.9	95.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
FACILITIES MANAGEMENT	**60.00**	**52.8**	**87.93%**
PERFORMANCE OBJECTIVE #1 Real Property Management (WEIGHT = 17%)			
1.1 Office Space Utilization (weight = 17%)			
1.1.a GSA Standard	10.0	9.6	96.00%
PERFORMANCE OBJECTIVE #2 Property Management (WEIGHT = 15%)			
2.1 General Plant Projects(GPP) (weight = 8%)			
2.1.a Number of milestones completed on schedule and within budget.	5.0	4.9	97.00%
2.2 Construction Project Cost (weight = 7%)			
2.2.a Total Estimated Cost	4.0	3.6	89.00%
PERFORMANCE OBJECTIVE #3 Maintenance Management (WEIGHT = 40%)			
3.1 Non-programmatic Maintenance (weight = 20%)			
3.1.a Inspect a portion of the sq.ft. of real property assets	12.0	10.2	85.00%
3.2 Maintenance Index (weight = 20%)	12.0	9.6	80.00%
3.2.a Performance index based on selected Maintenance Performance Indicators			

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
PERFORMANCE OBJECTIVE #4 Energy Management (WEIGHT = 11%)			
4.1 Use Energery Efficiently (weight = 11%)			
4.1.a Current FY energy goals accomplished/goals scheduled	7.0	6.7	95.00%
PERFORMANCE OBJECTIVE #5 Physical Assets Planning (WEIGHT = 17%)			
5.1 Comprehensive Integrated Planning Process (weight = 17%)			
5.1.a Effectiveness of Planning Process	10.0	8.3	83.00%

Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE		WEIGHT	SCORE	PERCENT
INFORMATION MANAGEMENT		**30.0**	**26.7**	**88.00%**
PERFORMANCE OBJECTIVE #1	**(WEIGHT = 100%)**			
1.1 IM Systems and Programs Operations				
1.1.a Operational effectiveness of IM Systems & programs	**(weight = 50%)**	15.0	13.5	90.00%
1.1.b Effectiveness of IM Systems & programs	**(weight = 50%)**	15.0	13.2	88.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
SAFEGUARDS AND SECURITY	**20.0**	**16.5**	**82.65%**
PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)			
1.1 Cost-Effective utilization of tools and procedures (weight = 35%)			
1.1.a Maintain data on implementation of S&S	7.0	5.6	80.00%
2.1 Perform comprehensive self-assessments of mgmt. systems (weight = 30%)			
2.1.a Self-Assessment program; and meeting DOE Requirements	6.0	5.4	90.00%
2.2 Corrective Action Plan (weight = 35%)			
2.2.a Percent of on-schedule corrective action plan	7.0	5.5	79.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
TECHNOLOGY AND INTELLECTUAL PROPERTY	**10.0**	**9.1**	**91.25%**
PERFORMANCE OBJECTIVE #1 (WEIGHT = 100%)			
1.1 Technology & IP are effectively managed…. (weight = 50%)			
1.1.a Key technologies & inventions are identified, assessed, disclosed ….	5.0	4.5	90.00%
1.2 Collaborative R&D Projects (weight = 50%)			
1.2.a Collaborative R&D Proj. provide benefit to DOE, SLAC, the scientific comm	5.0	4.6	92.50%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
ENVIRONMENT, SAFETY & HEALTH	**110.0**	**104.6**	**95.05%**
PERFORMANCE OBJECTIVE #1 (WEIGHT = 26%)			
1.1 Control Exposure to Personnel (weight = 7%)			
1.1.a An Industrial Hygiene exposure prevention is in place	8.0	8	98.00%
1.2 Control Lost Workday Rates (weight = 7%)			
1.2.a Total Recordable Cases/Lost Work Days baseline comparison	8.0	7.9	99.00%
1.3 Exposure of personnel to ionizing radiation will be controlled (weight = 9%)			
1.3.a Unplanned radiation exposures…are managed and minimized	4.0	3.8	95.00%
1.3.b Occupational radiation doses to individual from DOE activities…are not exceeded	4.0	3.4	85.00%
1.3.c Lost or unreturned dosimeter investigations...are carried out in timely manner…	1.0	1.0	95.00%
1.4 Control Radioactive Material (weight = 3%)			
1.4.a Reportable Occurences	3.0	2.9	95.00%
1.5 Fire Protection (WEIGHT = 8%)			
1.5.a Fire Department Response Time	1.0	1.0	96.00%
1.5.b Fire Protection Surveys	3.0	2.7	89.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
1.5.c Design Reviews	3.0	3.0	100.00%
1.5.d Design Reviews	1.0	0.9	87.00%
PERFORMANCE OBJECTIVE #2 (WEIGHT = 14%)			
2.1 Control Public Exposures (weight = 7%)			
2.1.a Radiation Exposures	8.0	7.0	88.00%
2.2 Control Environmental Exposures (weight = 7%)			
2.2.a Environmental incidents will be tracked and measured	8.0	7.0	87.00%
PERFORMANCE OBJECTIVE #3 (WEIGHT = 16%)			
3.1 Minimize Waste (weight = 5%)			
3.1.a Progress towards DOE pollution prevention goals for FY 2000	6.0	5.9	98.00%

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Appendix D - BUSINESS MANAGEMENT SCORING STANFORD LINEAR ACCELERATOR CENTER

PERFORMANCE OBJECTIVE	WEIGHT	SCORE	PERCENT
3.2 Waste Management (weight = 6%)			
3.2.a Management of hazardous wastes	3.0	2.9	95.00%
3.2.b Management of Low level waste	3.0	2.9	95.00%
3.3 Environmental Restoration (weight = 5%)			
3.3.a Current Year Work Plan	6.0	5.9	98.00%
PERFORMANCE OBJECTIVE #4 (WEIGHT = 36%)			
4.1 SMS Implementation (weight = 36%)			
4.1a I Enhanced SMS	40.0	38.8	97.00%